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ABSTRACT

This qualitative dissertation examines how first-line "area" or "division" deans at community colleges promote instructional innovation among faculty. Community colleges must find ways to provide innovative instruction to a diverse student body, to train working students in new technologies for community economic development, and to be accountable for student learning outcomes. The management and leadership skills of first-line deans are critical for successful innovations. This study examines management and leadership of the instructional innovation cycle: (1) planning and initiating change; (2) monitoring; and (3) evaluating the change effort. The study was conducted at one urban community college. Three departmental deans' management and leadership of instructional innovation were examined. In each department studied, deans and faculty were interviewed about perceptions of management and leadership, and classes were observed. Innovations focused on curriculum change, distance learning, and student success. Findings suggest that effective deans lead and manage the innovation process. They anticipate new directions, plan continuously for instructional innovation, encourage faculty to stay current in disciplines, foster faculty interaction, and persuade upper management to provide resources for innovative projects. During the innovation process, effective deans monitor instructional change, solve problems that arise, and evaluate the success of the innovations and make any necessary adjustments. Contains 59 references. (RDG)

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THE COMMUNITY COLLEGE FIRST-LINE DEAN:
MANAGEMENT AND LEADERSHIP SKILLS
FOR INSTRUCTIONAL INNOVATION

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by

REUEL KURZET

A DISSERTATION

Presented to the Department of Educational Leadership,
Technology, and Administration
and the Graduate School of the University of Oregon
in partial fulfillment of the requirements
for the degree of
Doctor of Philosophy

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"The Community College First-Line Dean: Management and Leadership Skills for Instructional Innovation," a dissertation prepared by Reuel Kurzet in partial fulfillment of the requirements for the Doctor of Philosophy degree in the Department of Educational Leadership, Technology, and Administration. This dissertation has been approved and accepted by:

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An Abstract of the Dissertation of

Reuel Kurzet for the degree of Doctor of Philosophy

in the Department of Educational Leadership, Technology, and Administration

to be taken June 1997

Title: THE COMMUNITY COLLEGE FIRST-LINE DEAN: MANAGEMENT AND LEADERSHIP SKILLS FOR INSTRUCTIONAL INNOVATION

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Since the 1980s, rapid political, social, economic, demographic, and technological changes have affected community colleges. Today, with decreasing public funding, community colleges struggle to provide innovative instruction to meet the needs of extremely diverse students; to train workers in new technologies for community economic development; and to be accountable for student learning outcomes.

This qualitative case study examines how first-line "area" or "division" deans at a community college manage and lead to promote instructional innovation among faculty. By definition, innovation requires change, a complex process with interrelated steps. Throughout the process, first-line deans' management and leadership skills are essential to success.

The research examines management and leadership of the instructional innovation cycle: (a) planning and initiating change, (b) monitoring, and (c) evaluating the change effort. The premise is that some management and leadership practices are more effective than others in facilitating instructional innovation at the department level.

Three deans' management and leadership of instructional innovation were examined in three departments at one public, urban, community college. The instructional innovations focused on curriculum change, distance learning, and student success. Multiple data sources and subject groups provided triangulation. In each department studied, deans and faculty were interviewed about their perceptions of management and leadership practices. Classes also were observed.

Findings suggest effective deans appropriately balance leadership and management strategies throughout the innovation cycle. As leaders, they anticipate new directions and plan continuously for instructional innovation and improvement. They encourage faculty to stay current in their disciplines and create opportunities for faculty to share ideas. They persuade upper management to provide resources for innovation projects and motivate faculty to initiate them.

Effective deans manage the innovation process: they facilitate faculty cooperation, monitor the instructional change as it is implemented, and solve problems that arise. Finally, these effective deans ensure that the innovation is evaluated and that adjustments are made if the evaluation so indicates.

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The only constant thing today is change.

Tom Peters

CHAPTER I

INTRODUCTION

In "Transforming Community Colleges to Compete for the Future" (1996) Patricia Carter and Richard Alfred argue that although community colleges have adapted and changed over the decades, "...today's challenges are significantly more turbulent and threatening than those faced in the past...." (p. 4). They cite three major trends"--changing community contexts, new competition, and changing student expectations--that underpin a mandate for transformation in community colleges...." (p. 4).

Current community college leaders agree. Dr. Richard Schinoff, president of Kendal Campus of Miami-Dade Community College, cited pressure to meet the changing needs of the community and of the workforce, and to provide educational programs related to governmental welfare and immigration reforms, among major external influences on his institution. He noted that community colleges also had to become more efficient, to do more with less money, because of decreased government support (telephone interview 11/21/96).

Gary Eaton, president of Maricopa Community College in Mesa, Arizona, listed numerous external forces exerting pressure on community colleges to change radically (telephone interview 12/16/96). Computer-literate incoming high school graduates as well as technological changes in business and industry mean that community colleges must offer advanced applications of technology. Hence, their faculty and labs must remain technologically current. The U.S. Department of Education plays an increasingly active role in mandating what schools and colleges must do. Professional organizations, such as the American Association for Community Colleges and the American Association of Higher Education, encourage community colleges to move in new directions. The communications and entertainment industries, as well as private educational providers, are beginning to compete successfully with community colleges for students. Dr. Eaton also commented that shrinking resources were forcing community colleges to meet these challenges by doing more with less.

Responses to these pressures for change include developing new courses to meet specialized needs, offering courses and degree programs via distance education--telecourses, modem courses, and Internet courses, streamlining courses and programs to move students more quickly into the workforce, repackaging courses to compete with commercial options, and adapting instructional approaches to meet students' diverse learning styles. All of these responses to rapidly changing demands imply the need for continuous instructional innovation.

Instructional innovation occurs at the department level. It is traditionally considered a faculty responsibility. Because the kinds of changes needed today call for major, department-wide innovations, rather than minor adjustments to individual courses, the work requires collaborative faculty efforts. Such collaborative instructional innovations projects are excellent examples of the kinds of college activities that Lorenzo and LeCroy (1994, 18) recommend be undertaken best by teams.

Managing and leading these teams is widely assumed to be the responsibility of the department chair, at least judging from the current research and literature. Certainly department chairs have a significant role in faculty leadership. Yet because department chairs commonly are faculty members themselves, their role chiefly is one of influencing peers. They lack the official authority to negotiate powerfully with upper management to secure waivers of standard operating procedures and the resources needed for innovation projects. These and many other important supports for instructional innovation require an effective first-line dean.

Unfortunately, first-line deans are neither widely studied nor recognized for the important functions they serve in instructional innovation at community colleges. This omission in the research needs to be addressed.

If community colleges are to adapt to their changing environment and meet all the challenges they face, departments must continuously pursue instructional innovation and improvement. Faculty willingness and ability to pursue instructional innovation depends greatly on the management and leadership skills of the dean. Both the business and community college literature focus on the importance of the president or chief executive officer (CEO)'s leadership in creating a culture, vision, and mission for change and innovation. No matter how well the president leads the organization, success depends upon the collective leadership ability throughout the organization, a principle March labels the "density of administrative competence" (1986, 29). In community colleges, the mission ultimately must be achieved at the department level, where students' needs are met. Without the first-line dean providing effective management and leadership of innovation, progress will be slow and limited at best. The essential first-line dean is an example of March's concept of "density of administrative competence" (1986, 29).

The Research Problem

There is very little research on "area" or "division" deans as first-line administrators. What little there is tends to be descriptive and to focus on personality traits of individual deans or on deans of particular discipline areas. A few researchers appear to have included first-line deans in studies of management and leadership practices of community college administrators in general. Unfortunately, these studies fail to identify the distinct management and leadership requirements for deans at different levels within the organization; in particular, they do not specify the particular management and leadership skills needed by effective first-line deans. These studies provide useful background but are neither sufficiently specific to first-line deans nor sufficiently theoretical.

The Purpose of the Research

The purpose of this research is to increase understanding of the management and leadership skills of effective first-line deans and to begin to develop a substantive theory of effective behaviors of first-line deans. To accomplish these goals, the study of first-line deans must be more focused and comprehensive than previously undertaken. This study used an inductive, grounded theory approach, focusing on deans' management and leadership of faculty in instructional innovation projects. A broad, general, conceptual framework was developed within which to analyze the deans' management and leadership behaviors; yet the framework was kept sufficiently flexible so as not to force conclusions into any preconceived pattern (Glaser and Strauss 1967, 45). To better understand the management and leadership behaviors of first-line deans, the study answers the following subsidiary questions:

- How do the deans provide leadership for the instructional innovation process?

How do deans manage within the instructional innovation cycle?

How do the faculty perceive and respond to their dean's management and leadership skills?

From an analysis of effective and ineffective management and leadership behaviors for deans overseeing instructional innovation projects, the beginnings of a substantive theory of effectiveness of first-line deans may emerge.

Conceptual Framework

The conceptual framework for the innovation cycle centers upon an adaptation for community college instructional innovation projects of the quality management literature's well-known Shewhart Cycle-- plan, do, check, act (Scholtes et al. 1988, 5-31). The steps for an instructional innovation project cycle are plan, initiate, monitor, and evaluate. The "do" step is divided into two, initiating the innovation and monitoring the implementation. Evaluate includes both the "check" and "act" steps of the Shewhart Cycle. It "checks" or evaluates the innovation's effectiveness. It also "acts" in that it evaluates how best to use feedback from "checking" to adjust and improve the original innovation plan.

The conceptual framework for leadership and management follows Bennis and Nanus's basic distinction between leaders, as those who "do the right thing," and managers, as those who "do things right" (1985, 21).

Leadership and management skills are essential throughout the innovation cycle; however, leadership is especially critical in the planning and initiating stages while management is more critical in the monitoring and evaluation stages. The leadership skills applicable to instructional innovation are borrowed and adapted from those identified by Kouzes and Posner (1990, 14). The essential leadership criteria against which deans' behaviors were evaluated are:

Challenges the Status Quo
  1. Searches for opportunities
  2. Experiments and takes risks

Inspires a Shared Vision
  1. Inspires faculty to envision the future
  2. Encourages broad faculty involvement

Enables Others to Act
  1. Fosters collaboration and conflict resolution
  2. Strengthens others' skills and confidence

Communicates Effectively
  1. Keeps everyone well-informed
  2. Listens well

There is some overlap among leadership and management skills. The management skills applicable to the instructional innovation cycle are borrowed and adapted from several sources, including Kouzes and Posner (1990, 14) and from the quality management literature. Additionally, Hersey and Blanchard's Situational Leadership II Model (1982) provides the framework for assessing the extent to which deans adapt their management behavior to their faculty's competence and motivation relative to the task. The essential management criteria against which deans' behaviors were evaluated are:

Establishes Objectives with Faculty through Planning
Organizes the Work with Faculty
Secures Resources
Motivates Faculty
Coaches Faculty
Communicates Effectively
Listens Effectively
Develops Faculty Capabilities
Measures Performance/Achievement Against Goals
Analyzes Measurements
Uses Analyses for Improvement
Solves Problems and Resolves Conflicts

Effective leadership and management both necessarily presuppose that the leader/manager is perceived by followers as trustworthy and as having high integrity. Without these essential character traits, no amount of leadership or managerial skill will suffice.

Overview of the Study

Chapter two summarizes the literature on three fields: management and leadership in business, including total quality management; basic concepts in sociological role theory; and literature on management and leadership in community college administration. Together, these inform the conceptual framework of the present study.

Chapter three explains the overall research design, including the data collection procedures, and analytical methods used. Chapters four through six present the findings of the three case studies of deans' managment and leadership of the instructional innovation cycle. Chapter seven compares the findings across the three cases and develops an initial, substantive theory of management and leadership behaviors of effective first-line deans. It also considers practical implications of the findings and suggests directions for future research.

Delimitations and Limitations of the Study

The research is delimited to the study of three first-line deans at one campus of an urban community college. Narrowing the study to a single college controls for differences that might be due to institutional size, type, and culture. The study also is delimited to a time period of slightly more than two years.

The research is limited in that only three first-line deans were studied. Obviously, one cannot make broad generalizations about all first-line deans based on such a small sample. However, the three deans were selected as exceptional examples-- to examine a range of leadership and managerial effectiveness. The choice of deans allowed for the study and analysis of a fairly wide range of administrative and managerial behaviors in so small a sample.

Contributions of the Study

As continuous innovation and improvement may well be critical to the future of community colleges, this study seeks to raise awareness of the extreme importance of first-line deans to successful instructional innovation projects.

From a practical standpoint, the research findings argue strongly for the value of providing substantial training to new first-line deans. This study also may suggest criteria for selecting and evaluating first-line deans.

From a theoretical perspective, the study will begin to develop a substantive theory of effective behaviors of first-line deans. It is hoped that the study will spark interest in research to develop further understanding of effective management and leadership behaviors of community college first-line deans and other administrators.

CHAPTER II

REVIEW OF THE LITERATURE

Overview

The purpose of this research was to examine how first-line deans plan for, initiate, monitor, and evaluate instructional innovation. The way deans manage and lead the four phases of an instructional innovation largely depends upon how they see their role as dean. Effective instructional innovation projects require strong management and leadership skills throughout the innovation process. Deans need skills appropriate to manage and lead both individuals and project teams. However, a dean's role perception may cause excessive reliance on some management and/or leadership skills to the neglect of other, equally important skills.

This chapter reviews literature pertinent to the research, beginning with an historical overview of literature on effective management and leadership practices. Much of that literature is from the perspective of those in business and industry. The more recent literature emphasizes the importance of a manager's ability to lead change effectively. It also points to the need for visionary, transformational leadership that can help institutions navigate successfully through the turbulently changing requirements of their external environment.

In addition, a brief look at Total Quality Management (TQM) literature highlights the specific skills needed to lead change and innovation efforts, particularly through teams.

Next, this chapter reviews research on the management and leadership roles of community college presidents and administrators. The literature generally parallels that of business and industry. It is notable that most of the community college management and leadership literature is about middle or upper administration rather than the first-line administrator. Little has been published on the important role of deans as first-line administrators in managing and leading instructional innovation efforts.

Finally, the last part of this chapter reviews a few basic concepts of role theory, which provided part of the theoretical foundation for this study. Many of the subjects in this and other research have attributed the behavior and effectiveness of deans or other supervisors to personality. Role theory suggests that personality is less an issue than how the deans are socialized into their position and how they come to view their roles.

Management and Leadership Practices

At the beginning of the 20th century, early time and motion studies by Frederick W. Taylor led management to focus on efficient task completion. The job of the manager was to analyze work, divide it into small tasks, and set up each task so that a worker could perform it rapidly and consistently. Managers did not enlist their workers' participation in decisions. Instead, the manager made all of the decisions necessary to do the work. The aim was to control for consistent work processes and uniform production by workers. The emphasis was on the task not on the workers. The job of the manager was to ensure that "things were done right" (Bennis and Nanus 1985, 21).

Early research on leadership was based on the belief that leaders were born, not made. Studies of exemplary "great men" provided detailed descriptions of the character traits of leaders. Although there continue to be studies of great leaders' personalities, researchers' inability to specify precisely the sort of person who would be a great leader gradually led to a deemphasis on personal traits.

In the 1950s, researchers hoped to discover one "best way" to lead by examining leaders' behaviors. They began to understand leadership behavior as a response to particular situations. Leaders were seen as selecting behaviors in response to situational factors, such as the task or work, the organizational structure and culture, rules and regulations, the degree of bureaucracy, and the attitudes of followers or employees. In the 1960s and 1970s, researchers studied the impact on effective management and leadership of these and other individual variables.

A number of researchers focused on the relationship between leaders and followers. Drawing on Chris Argyris's work on motivation, Douglas McGregor categorized two styles of leadership or managerial behavior, Theory X and Theory Y (1960, 33-38). He believed that the historical or "classical" management style was based on Theory X, in which managers assumed that workers inherently disliked work, were irresponsible, and chiefly sought security. These assumptions led managers to use an autocratic, controlling, and punitive leadership style.

McGregor believed that Theory X assumptions were incorrect. His Theory Y states that the mental and physical effort of work is as natural as play to human beings; that many, rather than few, people are creative and imaginative; that people can learn, under proper conditions, to seek as well as accept responsibility; and that the working conditions of modern industrial organizations fail to use most people's full potential. To remedy these problems, McGregor advocated a management style that replaced control and punishment with efforts to reward work well done and to enlist workers' commitment to organizational goals so that the work itself would be satisfying.

Robert Blake and Jane Mouton (1964) developed a managerial grid that analyzed managerial behavior in terms of concern for the task versus concern for the workers. A manager can have high, medium, or low concern for task and for people/workers. The combination of degrees of concern for each aspect result in five distinct managerial styles. The Authority-Obedience

Management style is similar to McGregor's Theory X. The other styles are Country Club Management (high people, low task), Impoverished Management (low people, low task), Organization Man Management (balanced, medium concern for people and task), and Team Management (high people, high task). Blake and Mouton recommend the Team Management approach as the most effective.

While McGregor's The Human Side of Enterprise (1960) and Blake and Mouton's The Managerial Grid (1964) emphasized one "best way" to manage, other researchers began to develop the notion of situational leadership, in which the "best way" varied depending upon the circumstances. Fiedler's A Theory of Leadership Effectiveness (1967) and Hersey and Blanchard's Management of Organizational Behavior (1969, 1982) stressed the need to manage flexibly, taking into account the developmental needs of employees as well as the requirement of the work or task. Their systematic analysis of situational leadership factors helped them to delineate effective leadership behaviors for different tasks, followers, and circumstances.

Fiedler's contingency theory model (1967) examined the relationships among several variables. Leaders could be either task- or people-oriented; the leader's relations with workers could be good or poor, and the task to be done could either be structured or unstructured. Fiedler determined that task-oriented leaders were more effective when the task was either extremely structured or extremely unstructured. People-oriented leaders were more effective when the task was moderately clear and structured; their good human relations skills helped to promote the positive teamwork needed for workers to clarify their task and carry it out. For managers whose personal leadership style was not the best match with their situation, Fiedler recommended changing the task structure, rather than the leadership style (1965).

Unlike Fiedler, Hersey and Blanchard suggest that the leadership style, rather than the task, be adapted to maximize leadership effectiveness. They developed a practical, situational leadership model to guide effective managerial behaviors in relationship to tasks and employees. First developed in 1969, with somewhat modified labels in the 1980s, Hersey and Blanchard's situational leadership grid II recommends particular managerial styles for different developmental levels of followers or employees. The leader's behavioral options include variable levels of direction, support and encouragement. The appropriate choice of leadership behavior depends upon key employee variables--differing levels of task competence and commitment, which are not stable but vary according to the task.

House (1971) and House and Mitchell's (1974) expectancy theory and path-goal model also focused on the important role of followers. They suggested ways that managers could influence or motivate followers to improve their work performance. They advised leaders to clarify tasks and remove barriers to work completion, to increase rewards for work accomplished, and to increase the intrinsic satisfaction of work.

The various factors affecting leadership behavior, taken together, came to be understood as contingency theory. Roueche, Baker, and Rose (1989) describe contingency theory as the "most comprehensive leadership theory to date." They summarize contingency theory by stating that an effective leader must bring all of the internal functions of the organization into line with the organizations' mission and technology and with the demands of the external environment. At the same time, the needs of the organizations' various groups or members must be met.

The 1980s saw rapid changes in social, political, demographic, and economic factors both nationally and globally that in turn forced radical changes in business. Organizations recognized that they were profoundly open systems, influenced--if not sometimes even controlled--by outside forces. Contingency theory now had even more variables to consider. Researchers, such as William Ouchi (1981), continued to refine thinking about the relationship between managers, task, and workers, but went beyond considerations expressed in Theory Y and the managerial grid to included such factors as philosophy, culture, and values. Those writing on management and leadership began to focus on how leaders could create, shape, and manage these abstract aspects of organizations.

Effective leaders, especially presidents and chief executive officers (CEOs), were charged with "visioning" a future for their organization, creating a new culture in line with that vision, and developing related mission and value statements. Beckhard and Pritchard (1992) and Bennis and Townsend (1995), among others, have influenced the new leadership direction. Ouchi (1981), Kanter (1983), Peters and Waterman (1982), Peters and Austin (1985), and others have written on the new roles that presidents and CEOs must assume to deal with multiple global changes in demographics, markets, competition, technology, politics, environment, and social values.

These new roles are seen as requiring a new leadership style, that of the transformational leader (Tichy and Ulrich 1984). The concept of transformational leader, and its opposite, the transactional leader, was first developed by James McGregor Burns (1978). Transactional leaders are traditional managers. They clarify and structure the work to be done, provide appropriate rewards and compensation, and pay adequate attention to the needs of workers. They primarily "do things right" (Bennis and Nanus 1985, 21), maintain the status quo, and keep their operations running smoothly and efficiently. In contrast, transformational leaders:

> ...engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality. Their purposes, which might have started out as separate but related, as in the case of transactional leadership, become fused. (Burns 1978, 20)

If the description of a transformational leader is less clear than that of a transactional leader, it may be because key features of transformational leadership are its inspirational and moral aspects. Burns states that transformational leadership inspires a high level of ethical conduct and aspiration in both leaders and followers, and thus "transforms" them both (1978, 20). In this respect, transformational leadership has something of an inspirational and charismatic flavor but, owing to its "moral" qualities, it is seen as less manipulative of followers than the charismatic/autocratic style. Since transformational leadership also links leaders and followers together in shared goals, it is the prescribed leadership for redefining organizational vision, mission, and values in chaotic, rapidly changing conditions.

In The Leadership Challenge, Kouzes and Posner write that management, as we know it, is dead (1987). Peters, in his introduction to that book, disagrees; he states that management is not dead but should be. In both statements, the intent is to emphasize that to be successful in times of turbulent and rapid change, organizations will need new leadership skills to "do the right things" (Bennis and Nanus 1985, 21). Effective leaders in the 1980s and 1990s are seen as transformational leaders who could lead major change efforts. Transactional leaders, those who were chiefly efficient managers, are deemed outdated.

To study effective leaders of the 1980s, Kouzes and Posner developed a "leadership practices inventory" (LPI) and surveyed 1330 managers and leaders. From the survey responses, they identified five key practices of effective leadership behavior, each with two strategies:

1. Challenging the process
    a. Search for opportunities
    b. Experiment and take risks

2. Inspiring a shared vision
    a. Envision the future
    b. Enlist others

3. Enabling others to act
    a. Foster collaboration
    b. Strengthen others

4. Modeling the way
    a Set the example
    b. Plan small wins

5. Encouraging the heart
    a. Recognize contributions
    b. Celebrate accomplishments

(Kouzes and Posner 1987, 310)

Although these skills, many of them transformational leadership skills, are necessary for leading successful organizations in times of rapid change, they do not completely replace the basic managerial skills of "doing things right" (Bennis and Nanus 1985, 21). Nor do they completely supersede the need to match the managerial approach to the worker's' motivation and competence, relative to the task (Hersey and Blanchard, 1982). Yet, since the 1980s, substantially less attention has been paid to basic management functions than to leadership. Little attention has been paid to studying the new roles that middle- and lower-level managers must assume, other than to recommend their inclusion on mission and values development teams. This is particularly true at the level of the first-line manager. The current leadership literature, focuses on top-level leaders and abstract aspects of vision, values, and culture. It presumes that followers or employees will be at a developmental level at which tasks can be delegated with fairly minimal support from the leader (Blanchard 1995, 21). Routine tasks that must be "done right" are presumably delegated to lower-level managers within the organization.

Yet, first-line managers continue to need skills to manage employees at a variety of developmental levels. Further, first-line managers and their employees are less likely than higher level managers and administrators to have received the extensive leadership and teamwork training. For that reason, first- line managers and their employees are likely to be operating across the full range of developmental levels described by Blanchard (1995, 21).

Total Quality Management

Concurrently with the leadership "vision, values and culture" literature, which tends to focus on "doing the right thing," the emerging quality movement, commonly known as Total Quality Management (TQM), emphasizes the need also to "do things right" (Bennis and Nanus 1985, 21). Most TQM techniques are not new. In a new quality- and customer-focused way, TQM uses proven practices from previous leadership and management research (Marchese 1991, 7). To "do things right," TQM advocates moving problem-solving and decision-making functions from the top to the bottom of organizational hierarchies, and indeed, to flatten those hierarchies (Marchese 1991, 5). To "do the right thing," TQM recommends developing empowered quality teams of workers who gather, analyze, and use data to continuously improve the organization, its processes, products and services (Marchese 1991, 5).

Whereas the literature of the early 1900s emphasized task completion as the manager's responsibility, continuous quality improvement literature maintains the focus on tasks, but shifts much of the responsibility to those performing the tasks. The new managerial responsibility is to "remove the system barriers" that hinder employee performance (Marchese 1991, 5). In the view of TQM, management is not dead; it has merely been transformed into team management and leadership or facilitation (Marchese 1991, 6).

A key feature of the quality movement that focuses on the task is the Shewhart Cycle, which describes the on-going process of continuous improvement (Scholtes et al. 1988, 5-31). Depicted as a circle, the process has four steps or phases:

FIGURE 1. The Shewhart Cycle.

PLAN

ACT DO

CHECK

"Plan refers to identifying what needs to be done and planning how to do it. "Do" refers to initiating or implementing the planned change. "Check" includes monitoring the processes and evaluating the outcomes of the change or innovation. "Act" is the process of using data from the "check" step to correct or fine-tune the planned change or innovation. This last step implies that every change effort is evaluated and that evaluation informs the first step of the next planning cycle. Total quality management literature assumes that high quality work will be accomplished best through empowered teams of workers whose managers are effective team leaders and facilitators rather than old-style Theory X autocrats (Marchese 1991, 6).

In the quality movement literature, as in the "vision values, and culture" literature, little is said about how employee teams will alter the role and work of the first-line manager, or how such managers should be trained for their new roles as team leaders and facilitators.

In general, the continuing alarm at the overall scope, depth, and rate of change has maintained organizations' outward focus as they warily scan the external environment for the next factor that may affect their mission, goals, or operations. Major responsibility for dealing with these changes is being vested largely in the organization's presidents and CEOs, and in the level of management immediately below them. Much of the literature on dealing with change emphasizes the importance of commitment from the "top," from the organization's positional leaders. Relatively less attention is being paid to the changing roles of each successively "lower" level of management. The ongoing day-to-day leadership and management of employees by first-line managers is receiving the least attention of all. Yet, it is the first-line managers who must act upon the organization's mission, vision, and goals at the level of individual departments to accomplish the desired change or innovation.

Almost no attention has been paid to studying how the leadership, management, and quality literature from business may apply to first-line deans in community colleges. Yet these literatures provide important theoretical and practical concepts that may have potential value for first-line deans if properly adapted to their specific roles in managing and leading instructional innovation.

An adaptation of the Shewhart Cycle has been used in this research to analyze the effectiveness of the first-line deans in the planning, initiation, monitoring, and evaluation phases of instructional innovation. Kouzes and Posner's (1987, 310) management and leadership criteria, Hersey and Blanchard's (1982) model of managing individuals and groups based on their developmental readiness, and the Shewhart Cycle's emphasis on tasks and processes and their continuous improvement together provide a framework to analyze the behavior of first-line deans both in managing faculty and leading the four phases of instructional innovation.

Relevant Elements of Role Theory

There is a tendency to attribute people's behavior to personality. For example, in her study of the role of instructional administrators, Patricia Rasmussen found that faculty believed their dean's personality determined many factors of the role they presented (1994, 139). Sociologists, however, see role behavior as influenced not only by personality but also by the cultural norms for the role behavior of a particular status or position (Macionis 1993, 154). Thus, for example, a person with the status or position of dean performs the role of dean largely within the "cultural expectations" of the society and their institution about how deans should behave. A dean's personality comes into play in how he or she interprets those culturally-based role expectations, so conformity is not uniform. Nonetheless, the cultural expectations exert a powerful influence on role definition.

Role theory is important because it implies that a leader can influence role behavior by changing the cultural expectations of the organization, which in turn can shape role perceptions and thus behaviors in accord with institutional values and goals. That, coupled with the understanding that managerial and leadership skills are not innate but learned, means that organizations can train their managers and leaders to be effective. For community colleges, this means that deans can learn the skills to manage faculty and lead instructional innovation effectively.

Management and Leadership Roles of Community College Administrators

The majority of the research on management and leadership in community colleges, as in business and industry, has been done on the president. Less research has been done on other administrative positions, such as academic deans, mid-level instructional deans, first-line area or division deans, and quasi-administrative department chairs. Overall, the community college research on administration has been influenced by research trends in business management and leadership; the recent emphasis has been on visionary, cultural leadership at the top, that is, from the president, somewhat to the neglect of examining the changing roles of other administrative levels.

Community College Presidents

Early research focused on the kinds of individuals who became community college presidents. Some of this research continued into the 1980s. For example, George Vaughan (1986) conducted a nationwide study of community college presidents from which he developed a profile of their education, career paths, and personal characteristics. He dubbed his subjects the “second generation” of community college presidents, as many of them had succeeded “founding presidents” from the 1960s national growth period of community colleges. As a group, these second generation presidents had significantly different problems to address in the 1980s than had the founding presidents a quarter century earlier.

In the 1960s new community colleges were opening across the country. Their founding presidents, often described as “charismatic and autocratic,” had to “attract followers” and encourage them to build a new college (Baker et al, 1992, ix, x). They had to deal with the pressure of unparalleled growth and expansion due to increasing student enrollments, but they had significant support. State legislatures tended to delegate much authority directly to community colleges and a healthy economy allowed generous funding to community colleges. Internally, the strong enrollments, acceptable retention, traditional student population, and adequate secondary school preparation provided stability.

By the 1980s, the second generation of community college presidents was facing different problems, such as "declining enrollments [and] soaring attrition" (Baker et al 1992, ix). As the decade proceeded, students' academic preparation for college declined markedly (Roueche and Roueche 1993, 20). High unemployment rates shrank state revenues, reducing available funds for community colleges. Yet, despite fewer dollars, community colleges were asked to do more "to meet the needs of increasingly diverse and under-prepared students while fulfilling the demands for a quality work force" (Baker et al 1992, ix). Increased social and political pressure for accountability from all public institutions, meant that second generation community college presidents had to meet these challenges with considerably less authority and autonomy than their predecessors had enjoyed. These conditions, which began in the 1980s, still prevail today.

Research on community colleges since the 1980s has looked at how the role of the president has changed in response to the new circumstances. The focus has shifted from looking at community college presidents in terms of their personal history, career paths, and personality to examining the leadership behaviors of successful community college presidents (Roueche, Baker, and Rose 1989; Baker et al 1992).

To adapt successfully to the new environment of rapid, chaotic change, community college presidents must lead their organizations to develop a new vision and mission (Roueche, Baker, and Rose, 1988). The chief leadership behaviors needed are those capable of shaping organizational values and culture to bring them into congruence with the new mission and goals (Roueche et al 1989; Martorana 1989). This thinking parallels the shift in emphasis from transactional management to transformational, visionary leadership in business and industry.

Changing an organization's culture now is viewed as a crucial part of the president or CEO's work in creating a new mission, vision, and values to adapt to rapid change (Kouzes and Posner 1987). For it is through the organization's culture that the new mission, vision, and values must be realized as work processes and activities are aligned with it. Community college presidents, as a group, have been criticized as being "inadequately prepared" for their new leadership tasks because they "have become conditioned to manage rather than lead" (Baker et al 1992, 5).

For community college presidents, as for corporate CEOs, a number of research reports and opinion papers were written detailing both observed and recommended leadership strategies. Roueche, Baker, and Rose (1989) studied 256 community college presidents identified as "transformational leaders." They saw these presidents as empowering those in their institutions to participate in developing a shared vision of the college's future. Successful presidents were oriented toward the future, demonstrated a bias for action, engaged in strategic planning, accepted reasonable risks, shared power and decision-making authority, encouraged collaboration, showed respect for others, developed the skills and motivation of followers, modeled trustworthy and ethical behavior, and showed their commitment to quality teaching and learning. These are the educational correlates of the kinds of corporate leadership behaviors Peters and Waterman (1982) and Peters and Austin (1985) found in America's best-run companies.

In Cultural Leadership, Baker et al focus on the different aspects of transformational leadership skills that community college presidents must use to shape the culture of their institutions in response to the demands of the quality revolution (1992). The president is directed to create a new paradigm, transform the community college's culture, improve communication, and empower the leadership team.

Perhaps the best summary of the community college president's role is Martorana's (1989) statement that the major challenge facing a community college president" is that of getting legitimacy and acceptance of the community college ideals in all aspects of institutional operations," (45). Martorana recognizes the president's role as that of a cultural leader who establishes the overall direction and mission of the college.

Others see the president as having a direct role in relation to faculty morale and job satisfaction. Jane McKee's doctoral dissertation (1988) studied the relationship between faculty job satisfaction and the leadership style of the president. Andrew Halford (1994) related faculty morale to instructional effectiveness. He reports that faculty effectiveness at Paducah Community

College in Kentucky improved when a new president came and initiated a program to improve faculty self-esteem. The underlying philosophy was that faculty "who believe they are treated with respect and valued as professionals are more effective than those who do not believe so" (1994,1). McKee's dissertation drew similar conclusions (1988). What is interesting about these research studies is their perception that the president has the major responsibility for faculty job satisfaction.

A number of others have assigned the community college president responsibility for instructional effectiveness. Gillett-Karam and Pena review literature that calls for the president to participate personally in promoting teaching excellence (1992, 98). Referring to path-goal theory, they note that, just as a teacher's behavior influences student learning, so a president's behavior influences faculty behavior (1992, 99). This is an interesting notion of the president's role, for in many community colleges few faculty ever see the president. As a cultural leader, the president's role is to establish cultural values supporting instructional excellence and to ensure that administrators act to support the cultural values. However, the major responsibility for encouraging and supporting faculty in the processes of instructional innovation and continuous instructional improvement properly resides with the various administrators and particularly the deans who work directly with faculty.

Upper Administration

The need for other administrators to assist the president in encouraging instructional innovation and quality has been recognized by a few. Gillett-Karam and Pena state that:

> CEOs cannot [build a teaching-learning community] alone. Organizational success results from the ability of CEOs to collaborate with followers in such a way that the followers are provided with a sense of ownership. (1992, 99)

Judith Louise Martin concurs:

> A strong, effective president will not necessarily affect the quality of institutional programs unless he or she has competent administrators at other levels of the organization. (1993, 3)

Martin conducted doctoral research on the role of the "academic dean," which she defined as a member of the president's cabinet. This is the level of administration immediately below the president. Martin noted that conducting research on deans was difficult because of the great variation in their duties due to the variety of college organizational structures. As in the case of college presidents, much of the prior research was descriptive and focused on deans' background and traits, roles and responsibilities, and decision-making styles (1993, 11). Much of that research looked at the same issues that have been studied with respect to college presidents. Martin noted that previous studies of different types of deans had not found a common set of criteria to describe an effective dean (1993, 15).

In her study, Martin found that effective academic deans exhibit expertise in carrying out five key roles as cultural representatives, communicators, planners/analysts, advocates and managers (1993, abstract). As cultural representatives, academic deans must communicate and model the desired cultural norms for the organization. They must continually strive to improve the quality and efficiency of communication structures, networks, and processes. Communication also includes giving faculty an appropriate voice in decision-making. In planning and analysis, effective academic deans collect and analyze data to make decisions following the practice advocated by quality expert W. Edwards Deming (1986), rather than the common practice of acting on cherished, if unfounded beliefs (Rosovsky 1987, 40). Planning also includes developing a collective vision with faculty and helping them see connections among ideas and programs, so as to develop a holistic approach to planning. As advocates, effective academic deans garner support and resources for the programs they oversee. Effective academic deans also are seen to be skilled managers. Martin states that:

> It is not important that the [academic] deans exercise these skills regularly, but that they understand how the management process works, permitting them to focus on broader or more philosophical issues facing the college. (1993, 212-213)

Martin concluded that her findings regarding leadership were not new, but that her examination of leadership and the role of the academic dean, as opposed to the president, was a departure from previous research.

Middle Administration

A few other researchers looked at the role of middle managers in community colleges as critical to instructional quality and innovation. Kelly Grant stated that:

> ...if top management wishes to improve faculty effectiveness and the organizational climate, they should work through middle management to effect improvements and concentrate on such motivational factors as using and supporting innovative ideas coming from the ranks, providing support for professional growth, ... and facilitating cooperation within and across academic departments and work groups. (1988, abstract)

Her research, conducted at Humber College, Ontario, examined the leadership perceptions of senior and middle administrators, faculty and staff. She found that a positive climate and good communication were important variables in motivating faculty and improving their productivity and job satisfaction. Responsibility for achieving a positive climate was deemed an appropriate role for the mid-level administrator, often a dean of instruction.

Patricia Rasmussen's (1994) doctoral study of the role of mid-level instructional administrators at southern California community colleges studied the role of instructional deans in shared governance rather than in instructional innovation. Rasmussen's research also compared instructional deans' leadership behaviors with the ten criteria in Kouzes and Posner's Leadership Practices Inventory (LPI). Effective instructional deans in her study exhibited five of those characteristics: searching for opportunities, fostering an environment of collaboration, strengthening others, planning small wins toward change, and recognizing the contributions of others. They were not perceived to demonstrate the other five characteristics to any great degree: celebrating success, leading the way, inspiring others, envisioning the future, and taking risks. The deans did, however, use a collaborative approach to decision-making. Overall, administrators, faculty, and the chief instructional officer believed that the instructional dean should develop and exhibit the leadership skills necessary to assume the role of a director, one who organizes people and brokers with others, but does not 'write the script' (p. 184). In community colleges with flat or minimal organizational hierarchies, these instructional deans, as middle managers, might work directly with faculty. In such cases, the instructional dean's leadership skills would support instructional innovation and quality teaching.

Department Chairs

Other researchers have studied the role of the department chair. A distinguishing feature is its ambiguity and lack of clear definition (Murray 1992; Hammons 1984). The status of leader among equals means that the department chair lacks positional authority over faculty peers and must use leadership skills to carry out his or her responsibility to promote instructional quality and encourage instructional innovation (Murray 1992). His study of faculty showed their preference for a chair who used participatory or shared leadership. The qualities that faculty sought in a department chair were primarily interpersonal skills.

Department chairs are frequently seen as responsible for encouraging faculty professional development, a prerequisite for instructional quality improvement and innovation. Scott (1990) saw a role for department chairs in faculty development, noting that although upper management must demonstrate an institutional commitment to quality improvement, staff development efforts to improve quality and productivity must begin with "front-line workers," that is, the faculty (p. 13). Scott believes that department chairs are in "the ideal position to assist faculty in a continuous and pervasive renewal process" (p. 13).

Creswell et al (1987) conducted a national study of the role of effective department chairs in faculty growth and development. Their research established appropriate department chair responses to nine categories of faculty development. Effective department chairs adjusted their managerial strategies according to the motivation and capability of individual faculty. Their approaches match well with the situational leadership strategies recommended by Hersey and Blanchard (1969, 1982).

Tucker (1993) recommends several strategies department chairs should use to promote faculty development. The focus is on good interpersonal relationships; key strategies include involving faculty in planning and setting goals, starting with those people and projects that are likely to succeed, and institutionalizing faculty development efforts. These strategies are also ones likely to support effective faculty instructional innovation team efforts.

Gmelch and Miskin (1995) specify twelve major tasks for department chairs which they group into four key roles: faculty developer (four tasks), manager (three tasks), leader (four tasks), and scholar (one task). Similarly, Seagren et al (1994) divide fourteen roles identified for department chairs into three role clusters: interpersonal, administrator, and leader (p. 53-55). The interpersonal and administrator roles are similar to Gmelch and Miskin's faculty developer and manager roles, respectively. Although research by Gmelch and Miskin and Seagren et al focus on the department chair, several of the chair's tasks, such as representing the department to upper administration and developing and pursuing long-range department goals, would be more successfully accomplished with strong support from the dean as first-line administrator.

William Watwood's (1996) doctoral study of community college department chairs identified effective leadership skills needed to implement change. These skills were primarily those of visionary leadership and total quality management. Effective chairs supported and empowered followers; led teams, focused on quality, and used data in decision-making (p. 207-8). These are the same skills one would expect to find in effective first-line administrators.

Deans

The ultimate success of instructional innovation is greatly dependent on the managerial and leadership skills of the area or division dean who works directly with the department chair and faculty. Because department chairs lack positional power both with respect to faculty and to higher administration, they are necessarily dependent upon the support and assistance of the dean to pursue instructional innovation efforts. The chairperson role of "faculty defender" may at times interfere with the responsibility to press for continuous instructional improvement through faculty development (Boice 1985). The department chairs' positions as faculty members can limit their ability to secure resources from and broker agreements with upper administration. The more traditional and hierarchical the organization, the more critical the role of the first-line dean in negotiating with upper administration to support quality improvement and instructional innovation. Because community colleges are only now beginning to experience the downsizing and hierarchical flattening that business and industry experienced in the mid-1980s, many community colleges continue to have top-heavy administrative structures with narrowly restricted, linear communications. In such organizations, even department chairs highly skilled as a managers and leaders will have limited access to the upper level administrators from whom they need resources and support. In contrast, the dean, as an administrator, has the positional authority to negotiate for resources and support.

In spite of the tremendous importance of first-line deans in supporting instructional innovation efforts, particularly in very hierarchical organizations, relatively little research has been done on their role or on the managerial and leadership behaviors they need to be an effective first-line administrators. Carter and Alfred (1996) speak of the need for five new leadership roles--healer, bridge builder, learning leader, cultural interpreter, and innovator--for leaders throughout the community college (p. 6). Although they do not specifically address any one position, their examples show that they perceive the leadership skills to be as pertinent to deans as to higher level administrators and the president.

Marguerite Jones's (1994) doctoral study investigated the effects of innovative projects on overall institutional change in eight California community colleges. Her findings noted the importance of "leadersnip by strong, tenacious and committed faculty and lower level administrative staff to provide the stimulus and skills to actively seek and implement innovative activities" (abstract).

According to Lorenzo and LeCroy (1994), the need for change in community colleges requires an examination of the "traditional roles of faculty and administration" (p. 15). Although they do not define new roles or state which positions they refer to, they stress that the continuing emphasis on work done by teams within the institution and partnerships with those constituencies outside the organization will require "greater collaboration skills" (p. 18).

The present study seeks to address the paucity of research that has focused specifically on the role of the dean as first-line administrator in supporting instructional innovation efforts. Using the foundation from role theory that role behaviors are highly conditioned by the cultural and institutional expectations for a role, that is, learned not innate, the research examines the managerial and leadership behaviors of three deans at one community college as they attempt to motivate and support instructional innovation efforts among faculty.

CHAPTER III

RESEARCH METHODS

Research Philosophy and General Methodology

The selection of an appropriate quantitative or qualitative research design and methodology depends upon the research situation and must evolve from consideration of the researcher's philosophical perspective and values. These, in turn, influence the kind of questions he or she decides to research. These considerations help the researcher discover a suitable research design and methodology. The research approach chosen for this study is a qualitative case study design to generate substantive theory about effective management and leadership practices for first-line deans who are responsible for promoting instructional innovation in the departments they supervise.

Qualitative research, as its name suggests, examines the qualities of things and events. This research explored how administrators supported and hindered instructional innovation through their management and leadership practices. It also explored faculty perception of the management and leadership practices in their departments and how they believed those practices affected instructional innovation efforts. Lincoln and Guba have come to believe that the case study is the most appropriate "product" of any naturalistic inquiry into social phenomena, where reality and meaning are socially constructed by the participants (1989, 232). The goal of the research was to enhance understanding of the meaning and interpretation administrators and faculty ascribe to their experiences by developing a substantive theory of effective management and leadership skills for deans who wish to promote instructional innovation. As qualitative questions were asked to learn about qualitative management and leadership behaviors of individual deans, they point to a qualitative case study design for the research.

Case Study Research

A qualitative case study research design can illuminate the complex, interrelated management and leadership factors that support or hinder instructional innovation. A qualitative examination of first-line deans' management and leadership in planning, initiating, monitoring, and evaluating instructional innovation allows one to compare and evaluate the effectiveness of various management and leadership strategies. This makes possible the development of a substantive theory of effective management and leadership of instructional innovation by first-line deans.

The case study emphasizes a single "bounded system" that has some "unity or totality"; it emphasizes the "unity and wholeness of that system but confin[es] the attention to those aspects that are relevant to the research problem at the time" (Stake 1988, 258). Case study research provides a clear, detailed, description of a case, and also gives a holistic perspective on the complexity of interactions germane to the case; this is an appropriate method for studying the complex relationships among management and leadership strategies for planning, initiating, monitoring, and evaluating instructional innovation at the department level.

This case study illuminates the "complex educational context as it exists" without attempting "to manipulate or control variables" (Worthen and Sanders 1987, 132). The findings provide information about the kinds of department level management and leadership practices that encourage instructional innovation.

Grounded Theory

Grounded theory is a qualitative methodology, first designed by Glaser and Strauss (1967), to balance what they perceived as the overemphasis of other research methodologies on replication of previous research studies and the neglect of new theory development (p. 1). Grounded theory methodology allows the researcher not only systematically to collect and analyze data about qualitative phenomena but also to develop a theory to explain the phenomena. The term "grounded theory" signifies that the theory is developed inductively and is "grounded" in the actual data collected rather than deduced from a priori assumptions (p. 3). The theory is developed through a process of theoretical sampling used together with the "constant comparative method," an analytical procedure of general comparative analysis (p. 102, 104).

Glaser and Strauss describe theoretical sampling as "...the process of data collection for generating theory whereby the analyst jointly collects, codes, and analyzes his data and decides what data to collect next and where to find them, in order to develop his theory as it emerges" (p. 45). Data are coded and analyzed as they are collected using what Glaser and Strauss call the "constant comparative method" (p. 102). Data coding and analysis begin early in the data collection process because

> ...to generate theoretical ideas--new categories and their properties, hypotheses and interrelated hypotheses--[one] cannot be confined to the practice of coding first and then analyzing the data since, in generating theory [one] is constantly redesigning and reintegrating...theoretical notions as [one] reviews [the] material. (p. 101)

Data are analyzed by looking for themes or categories that emerge. Next, the researcher looks for properties of the categories. In a reiterative process, incidents are compared to each category that emerges; categories and their properties are integrated; and the emerging theory is delimited (p. 105-113). Incidents are compared to categories both within and across cases. Data are not coded as extensively as in hypothesis-testing methodologies, "but only enough to generate, hence to suggest, theory" (p. 103).

While using the constant comparative method, data analysis informs the researcher's theoretical sampling process. Thus, as salient categories emerge from the data, the researcher may decide to alter the interview questions somewhat or to seek additional or different subjects than had been originally planned. Most importantly, as the categories emerge, they begin to give shape to a possible formal or substantive theory about the phenomenon under investigation.

Formal and Substantive Grounded Theory

Formal theory is a theory that explains a general class of phenomena occurring in all contexts: business, government, social services, educational, and do on (p. 32). The general theories of effective management and leadership principles are examples of formal theory. Substantive theory limits its findings to one particular context (p. 33). The theory is not generalizable beyond the specified context. This study develops a substantive theory of effective management and leadership behaviors for first-line deans who wish to support instructional innovation at the department level.

Specific Procedures

Selecting Cases

Glaser and Strauss recommend that decisions regarding initial data collection be based on the researcher's developing "a partial framework of 'local' concepts, designating a few principles or gross features of the structure and processes in the situations he will study" (p. 45). Accordingly, this study began with some general assumptions about desirable features of departments whose deans would make suitable cases.

The first assumption was that factors such as institutional culture, vision, and mission would influence deans' management and leadership behavior and thus affect research findings in unknown ways. To control for these factors, the research was conducted in three separate departments but at a single community college. The research sought to study different approaches to management and leadership of instructional innovation within a single institution so that the factors of institutional culture, vision, mission, and so on could be considered constant across all three cases. One important aspect of the community college in this study that may affect management and leadership is that the faculty are unionized. Another institutional factor is that neither pre-service nor in-service training is provided for deans. The assistant head of the Human Resources Department reported that new deans learned from other deans. She also stated that her department had been thinking about providing a training session for new deans. When asked to elaborate, she listed topics for the training that focused on dealing with the bureaucracy of the college and adminstering the faculty contract.

The theoretical goal was purposively to select cases that would illuminate different management and leadership practices of deans as applied to the instructional innovation process. Case identification and selection was accomplished in two phases, first to select potential departments and then potential deans. A search through the winter 1994 college class schedule identified sixty academic and vocational programs. Because an important publicly-expected outcome of high quality community college education is the preparation of students to transfer to four-year institutions, programs that were not acceptable for transfer credit were excluded from the study. Strong "credit transfer agreements" in the state meant that in addition to the usual "lower division transfer" academic departments, a number of vocational programs' coursework transferred as well.

Programs offering fewer than six different courses were excluded, as the researcher was interested in studying departments with more than one or two faculty members who could discuss their perception of their dean's management and leadership skills with respect to instructional innovation. This left thirty-three programs to choose from.

The next research step was exploratory, an attempt to get a rough feel for the kinds of departments available to study. Programs were checked for the number of student majors in their departments, the number of ethnic minority students, age and gender balance in their departments, whether the departments offered courses primarily to fulfill general education transfer distribution requirements, and so on.

An assumption behind department selection was that effective instruction must meet the needs of the highly diverse students who attend community colleges. For this reason, some programs were excluded from the study because faculty reported that there were no or few non-traditional, female, ethnic minority, or at-risk students in their program.

Another assumption was that significant, department-wide instructional innovation would be more likely to occur in a department that usually had a fairly large number of student majors; for such a department to be of high quality, it would have to offer a coherent program, rather than discrete, disconnected courses. For example, students majoring in general studies and students completing their general education distribution transfer requirements, comprised the majority of students in departments such as history, philosophy, and political science. In these departments, the typical student took one or two courses, so the overall program offered by the department was not as important as it would be to students majoring in the discipline. Thus, it was assumed that departments requiring coherent programs were assumed to be more likely to engage in department-wide instructional innovation than those without such a requirement. Accordingly, departments with few majors were excluded as possible candidates for the study in favor of those in which most students would be likely to take three or more courses.

Next, to select from the remaining departmental possibilities the actual deans as cases for study, the researcher spent time “loitering” in various division office areas around campus where faculty from different departments congregate. In these office areas, the researcher engaged people in conversation about instructional innovation projects around the college, perceptions of which departments were pursuing innovations (and which were not), and perceptions of faculty satisfaction with their dean's management and leadership skills. The researcher sought out information about departments whose deans would provide exceptional cases to illustrate a variety of management and leadership behaviors. Finally three departments were selected whose deans seemed to illustrate a range of approaches to management and leadership of instructional innovation.

The three deans are the actual cases or units of study of the management and leadership of instructional innovation. The three departments are considered the context for the instructional innovation effort. The innovation projects serve as critical incidents through which to study the deans' management and leadership of instructional innovation projects. The three innovation projects are described below.

To provide confidentiality to all research participants, the departments and their disciplines are designated A, B, and C. Members of a department are designated by their job title, such as dean or faculty, plus the letter of the department. The several faculty members within a department are numbered from 1 to n, with 1 designating the first faculty member of each department cited or quoted in this study.

Description of Department A's Instructional Innovation Project

In October 1995, Department A received a federal Title III "strengthening institutions" grant to reform its curricula and instruction. The college hoped to achieve several outcomes from the grant-funded innovation effort. Upper administration at the college had been examining student retention at the college and noted that Department A had a 60% attrition rate. This was especially disturbing because its courses are prerequisite to many vocational and transfer courses offered by the college. The vice president for education reasoned that if student retention in Department A courses could be improved, it would improve transfer to and completion of other programs at the college as well. Further, if a program to improve retention in Department A courses were successful, it also might be used as a model to increase retention in other departments.

Department A faculty were interested in reforming their curricula and instruction along the lines advocated by a growing national reform movement in their discipline. Faculty had been attending local and regional workshops and conferences and reading national studies related to their discipline as well as general reports such as the U.S. Department of Education Secretary's Commission on Achieving Necessary Skills' Report for America 2000. They also had been following the progress of colleagues in other colleges and general efforts to increase academic success among African-American and

Hispanic students. These sources argued that changes in the workforce and in technology meant that Department A's subject matter was needed and "being used in more ways by more people than ever before, [so that instructional] content, pedagogy, and learning outcomes must change" (Faculty A-1, full-time spring 1996). The focus of the reform effort was to enable students to "learn...through modeling real world situations" and learn to "read, write, listen to and speak [discipline A] as well as problem solve and use appropriate technology," (Faculty A-1, full-time spring 1996).

At the college, Department A faculty proposed to revise both curricula and instruction for all their courses, from remedial through advanced. They believed that program revision would make their discipline more accessible and more practical for students and would thereby increase student motivation, achievement, and retention in Department A courses at the college.

The program-wide instructional innovation effort had many components. New tools, used since 1991 in the intermediate courses, would be included in advanced as well as beginning courses. Hiring qualifications for both full-time and part-time instructors would be revised to require training and/or experience in "reform...instructional techniques" and all current faculty would receive extensive in-house training in the new instructional methods for teaching discipline A. These methods lessened the role of lecture in Department A instruction and emphasized the use of instructional materials, cooperative learning groups, and course projects. Department A students would be required to demonstrate their ability to apply their learning by writing a short research paper that described a "real-world" problem amenable to a solution that included the application of discipline A.

The large-scale instructional innovation effort would require careful planning, monitoring, and evaluation to implement, making it a good choice through which to examine the dean's role in managing and leading these efforts.

Description of Department B's Instructional Innovation Project

Department B had been one of the early departments at the college to become involved in distance learning efforts. Early distance learning had consisted of telecourses. By the fall of 1994, the college was offering courses via modem, and by 1996 over the Internet. Dean B was interested in increasing the number of courses in his division that would be available to students via distance learning. Personally skilled in a wide variety of computer applications, and interested in new instructional technologies, he hoped to interest faculty in gaining the necessary computer skills to enable them to present courses via modem and Internet delivery systems.

A chief obstacle to increasing distance learning courses was limited funding to pay for their development. The first time an instructor taught a telecourse, modem course, or Internet course, he or she needed far more preparation time than would be necessary to teach a traditional "lecture" course. The dean hoped to limit the expense by establishing a mentoring system, in which an experienced telecourse or modem instructor would team-teach with an instructor who wished to become proficient in the new delivery system. The team-teaching arrangement speeded up the learning curve--and thus reduced the expense--of training the new instructor in the distance learning delivery system.

In the fall of 1996, the college president announced at the annual employee assembly that he hoped to see the college develop the capacity to offer a two-year degree entirely through distance learning by the end of the coming academic year. This clarion call to increase and speed up efforts to offer more distance learning course options encouraged Dean B to redouble instructional innovation efforts in this direction.

Department B was selected because the instructional innovation effort originated with the dean rather than the faculty and would require strong management and leadership skills to bring the faculty into in the planning, monitoring, and evaluation of the innovation effort.

Description of Department C's Instructional Innovation Project

The college's Department C offers a long-established, well-funded, successful program. For many years, prior to 1990, it enjoyed a national reputation for having a 100% pass rate for its graduates on the state licensing examinations. However, one faculty member was dissatisfied. She was concerned that the program served students who were nearly exclusively white, middle class, and female. Society was becoming increasingly diverse, and the professional journals had been for several years proclaiming the need both to educate practicing professionals to interact effectively with people of diverse backgrounds and to increase the ethnic and racial diversity of the workforce in that field. In Department C, as in many similar programs nationwide, the problem was not being addressed.

The instructor began to search for funding to create a Student Success Program in the discipline. She found it in some special funds that the college's board of directors had set aside from the college's general fund to support "excellence projects" during the 1988-1989 academic year. Any member of the college community could write a brief proposal requesting funds for a project designed to improve instruction or other services to students. A number of priority areas were listed, including increasing the diversity of faculty and students at the college and improving instruction and student support services.

The instructor wrote a proposal to create a Department C Student Success Program. The stated goal of the innovation was to "...provide an entry point into [discipline C] for ethnic minority students." (program description pamphlet, 1/94). The innovation would include both instructional and student support services. A key support service was the provision of a special student advisor, with a background in teaching and learning styles who would work with ethnic students individually and monitor their progress into and through Department C's program. A key instructional innovation was a special pre-entry "...course [to prepare students] for the challenges of discipline C study. It [would familiarize students] with discipline C's processes, terminology, ...and proven study skills" (program description pamphlet, 1/94). Other support services included study groups, class note-takers, and test review sessions. The major instructional innovation, requiring department-wide faculty participation was the plan to completely overhaul instructional methodology in Department C. The goal was to change from a traditional lecture class format to the use of a broad repertoire of instructional techniques designed to address a variety of student learning styles.

The overall innovation was initiated by a single faculty member who gained initial support chiefly from upper administration and her dean rather than from her faculty peers. Over the course of the innovation effort, the faculty member who initiated the project became first the faculty department chair and later the dean of Department C. Although Department C faculty describe the management styles of the different deans to be similar, Department C's Student Success Program was selected as an instructional innovation case that would be of interest partly because of the change in management and leadership during the innovation process.

Triangulation

To provide rigor and credibility, the study included triangulation of different data sources, methods, and subjects--each to provide verification and partial correction for the weaknesses of the others (Denzin 1978, 302).

Research reports and theoretical and opinion pieces were reviewed for information on management and leadership practices related to this study. These "best practices" were then compared to the practices exhibited by the three deans in this study.

Face-to-face interviews were conducted in each of the three departments studied; both deans and faculty were interviewed to compare and contrast their perceptions of management and leadership practices employed and their affect upon instructional innovation.

Key informants in each of the departments were re-interviewed some months after their original interview. This provided a way to assess consistency of perception and to see in what ways perceptions of individual dean's management and leadership of instructional innovation might have changed over time.

Literature Search

Relevant literature was reviewed to identify various management and leadership practices required for successful change initiatives, such as instructional innovation endeavors.

The literature search reviewed relevant theoretical and opinion papers and research reports for management practices shown to be effective in fostering a positive work climate, one that encourages employee innovation, creativity, and flexibility. Similarly, the literature review sought strategies proved or strongly believed to be effective. Both theory and research findings provided models against which to compare reported management practices.

Face-to-face Interviews

Face-to-face interviews were selected for this study because they yield significantly higher response rates and thus better data quality than telephone interviews or mail surveys (Dillman 1978, 74-75; Kidder and Judd 1986, 225). Additionally, the face-to-face contact allows the interviewer to "establish rapport and motivate the respondent to answer fully and accurately, again improving the quality of data" (Kidder and Judd 1986, 225). Face-to-face interviews have the disadvantage of potentially large "interviewer effects" (Kidder and Judd 1986, 225), and possibly "of producing socially desirable answers" (Dillman 1978, 63; Hagan 1986, 336, 344-45). These potential liabilities should be minimized because face-to-face interviews also allow the researcher to note body language that apparently contradicts a subject's verbal responses.

Reinterviewing key subjects six to twelve months after the initial interview also provided the researcher the opportunity to assess to what extent a subject's responses to interview questions reflected the climate of their department at a given point in time and to what extent the responses reflected a more permanent conception of their dean's management and leadership of instructional innovation.

Research Subjects

Potential interview subjects included all administrators (division deans and instructional deans) and all full-time and part-time faculty in each of the three departments of the study during the 1994-1995 and 1995-1996 academic years. All participation was strictly voluntary. The sample is thus both purposive and self-selecting.

Administrators and faculty were invited, either by telephone or in person, to participate in this research. Those who agreed were asked to read and sign a consent form. Key informants were re-contacted during the 1995-1996 academic year and fall term 1996 for additional information and to assess the consistency of perceptions of their dean's management and leadership behaviors related to instructional innovation. Two of the deans also were re-interviewed.

Data Collection

Permission to conduct the research was granted by the college president for all phases of the research.

The researcher personally conducted all interviews and classroom observations related to this research project. Each interview lasted from 30 to 45 minutes. Each interview was conducted in a quiet, private setting, agreeable to both the researcher and the participant. Before the interview began, the researcher explained the nature of the research, the research participant's rights, and obtained a signed consent form from each participant. Subject, setting, and equipment permitting, most interviews were audiotaped. Also, at times, and with the subject's permission, hand-written notes were taken in addition to, or occasionally in lieu of, audiotaping. Following the interviews, a professional secretary, not associated with the college, transcribed the audiotapes into a computer and printed paper copies of the transcripts.

Interview Procedures

It is, of course, impossible for any researcher to conduct value-free research, for the choice of what to study and what questions to ask implies values and biases on the part of the researcher (Hagan 1986, 350). To control for potential researcher biases, each interview began with open-ended questions to avoid "unwarranted assumptions" and to "allow... the respondent to answer in a relatively unconstrained way" (Kidder and Judd 1986, 248). Later in the interview, participants were asked a mixture of open-ended and structured questions. Other researchers have found the combination of open-ended and structured questions useful because some respondents are better able to answer open-ended questions than others (Hagan 1986, 354). Each interview subject was asked to describe how instructional innovation in their department was planned for, initiated, monitored, and evaluated. They were also asked to describe management and leadership practices used in their department.

There also were differences in some of the interview questions between the two subject groups, faculty and deans. Deans were asked how they perceived their role as dean, both in general and in the four phases of instructional innovation. Deans were asked how they supported faculty efforts, their perception of faculty, and their evaluation of the extent to which faculty are using innovative and flexible teaching practices. Faculty were asked about their perception of their dean's management and leadership practices both in general and in the planning, initiating, monitoring, and evaluation of instructional innovation. Faculty also were asked about the extent of administrative support they received from their dean. The researcher gleaned faculty perceptions of their dean's trustworthiness and integrity from faculty responses to questions about their dean's management and leadership behaviors.

After several initial interviews, the "grounded theory" procedures of the constant comparative method and theoretical sampling were used "to decide what data to collect next and where to find them" (Glaser and Strauss 1967, 45). For example, a subject's responses during any given interview might provoke an additional follow-up question; a change in the interview format or questions, for either that or future interviews; or a suggestion of whom next to interview.

Confidential Treatment of Data

Names of all subjects who participated in this study have been and will be kept confidential. General job titles with alphanumeric suffixes are used in the dissertation and will be used in any other writing and presentations that may use data from this research. Interview data are reported by departments designated A, B, and C and by position of subjects within each department, that is, dean or faculty member.

In the course of obtaining permission to conduct the study and in selecting departmental cases for the study, it has become known to many that the subject college is part of a study. Also, very general findings, that identify neither specific departments nor subjects, may be used inside the college. Subject confidentiality will continue to be maintained by reporting within the college only very general conclusions without specifying any particular department or program. Because interviews were conducted in a number of departments that were not ultimately selected as cases for this study, avoiding department specification should be effective in maintaining confidentially within the college. For purposes of this dissertation and other professional writing, outside of the institution, the school is designated only as “the college.”

Audiotaped interviews and written transcripts of the data have been kept at the researcher's home during the course of the study. Audiotapes will be erased magnetically and files will be destroyed not later than two years after the completion of the doctoral degree.

Data Analysis

Interview responses of administrators and faculty were analyzed for common themes, using the “constant comparative method” recommended by (Glaser and Strauss 1967, 105-113). After common themes or categories were identified, subjects’ perceptions around those themes were developed into properties of the categories. Comparisons then were made within and across subject groups (faculty, dean) and across departments. That is, faculty responses around identified categories were compared to those of other faculty and also to those of the deans. Similarly, each dean’s responses to identified categories were compared to those of other deans and faculty.

To avoid adding to the proliferation of multiple labels identifying more or less equivalent concepts, as each category was identified, an effort was made to select a label for it from among those currently in use in literature on management and leadership practices. In some cases, the current labels did not fit the findings in this research and had to be adapted or new labels had to be made. Management and leadership behavior concepts and category labels were borrowed and/or adapted from Blanchard's (1995) Leadership Grid II, Kouzes and Posner's (1987) The Leadership Challenge and from TQM literature, including Marchese's (1991) "TQM Reaches the Academy." Finally, the essential underlying character traits of trustworthiness and integrity were selected from Kouzes and Posner's Leadership Challenge (chapter 2).

In the chapters dealing with the cases of individual dean's management and leadership practices related to instructional innovation, both the responses and analyses presented are delimited to the particular case. In the conclusion, the three deans' management and leadership practices related to instructional innovation are compared to each other.

Evaluating the Research Design

The final step in developing the research methodology was to consider whether the planned research design provided sufficient "rigor." In experimental or quasi-expermental research designs, the traditional measures of internal validity, external validity, reliability, and objectivity are used to assess the quality of the research design. Lincoln and Guba (1986) believe that these traditional criteria for evaluating positivistic, quantitative research are inappropriate to evaluate qualitative inquiry. Instead, they propose that the criteria be adapted to match the goals of naturalistic, qualitative inquiry. They suggest four parallel criteria: credibility, transferability, dependability, and confirmability (1986, 7).

Credibility provides for a believable study that accurately identifies and describes the subject or case under investigation. Lincoln and Guba suggest several techniques to strengthen credibility. Among those techniques used in this study were “prolonged engagement” and “persisent observation,” which means lengthy and intensive contact with the case and respondents as well as “in-depth pursuit” of emergent key elements of the study (Lincoln and Guba 1986, 77). The researcher periodically observed the departments (classroom observations and “hanging about” in the office area) and re-interviewed key subjects over a period of more than two years.

This study also enhanced credibility through triangulation of several different data sources and methods to verify the information derived from each. The rationale for triangulation is that the weaknesses and biases of one data source or method are corrected for in the others (Denzin 1978, 302). Jick has commented that triangulation does not completely eliminate bias and that truth is not converged upon simply through triangulation (1983, 138). Nonetheless, triangulation does strengthen the overall credibility of a study, particularly when used with other techniques, such as the “prolonged engagement” described above. Triangulation of this study is described in detail in the sections on literature search and face-to-face interviews.

Transferability is provided by a study containing "thick, descriptive data" in a narrative about the context, so that readers of the study can determine to what extent it may be transferable to other contexts (Lincoln and Guba 1986, 77). This narrative is provided in the descriptions of the three innovation projects chosen as critical incidents that could illuminate the deans' management and leadership of instructional innovation. It is also provided in the chapters on each of the three cases in the use of participants' direct quotations.

Dependability and confirmability are provided when a study accounts for changes that occur in the case during the course of the research and in resulting changes in the design of the study as the case is better understood (Lincoln and Guba 1986, 77). These two factors have been critically important in this research. The investigator began the first observations and interviews with research questions that focused on faculty instructional techniques and faculty efforts to innovate to meet community college students' diverse needs. In essence, the researcher was holding the same assumptions evident in virtually all of the published literature that ignored the essential role of the first-line dean in instructional innovation efforts. Indeed, when faculty respondents in the first series of interviews, in two of the three departments included in the final study, were asked about instructional innovation, they also tended to minimize the importance of their dean's role. Off-hand remarks about the dean began to suggest that the role of this first-line administrator was more important than recognized. Accordingly, although the research design was changed only minimally by dropping students as subjects, the questions and focus changed completely. Fortunately, the first series of interviews included questions that were still relevant to the new research focus. Subsequent interviews included the questions described above under interview procedures and dropped questions asking about instructional methods and student success.

To document these changes and provide for dependability and confirmability of the study, the researcher wrote up detailed case studies of the first two departments, not deans, describing each as fully and richly as possible. Memos were made after these and subsequent interviews and observations, as were "research journal" entries of reflective observations or "epiphanies."

CHAPTER IV

THE DEAN AS MANAGER AND LEADER

Planning and Initiating Instructional Innovation in Department A

Although all three deans in this study viewed instructional innovation as a faculty responsibility, they handled the planning of instructional innovation quite differently. Dean A stated that faculty were the content area specialists and would know best how to deliver their curriculum. Dean A said he believed faculty were most innovative when they shared ideas and debated instructional approaches with their colleagues. He also believed it was important for faculty in pure disciplines to develop collaborative relationships with faculty in related applied areas: Through learning more about each other's disciplines, faculty in the two areas could strengthen both their curricula and their teaching approaches.

In practice, this might mean that instructors would give examples of applications of their discipline to related applied areas, so that students could see how the discipline was applied in a vocational area. Similarly, faculty in applied areas could benefit from knowing precisely the kind of preparation students were receiving in pure discipline courses.

Dean A saw his role as one of facilitating communication. One way that he did this was by fostering cross-departmental exchanges to "seed" instructional innovation. Hence, he created opportunities for faculty in related disciplines to meet and associate with each other. Early in his tenure, he arranged several cross-departmental social events, which included informal get-acquainted and team-building activities:

> That's a lot of it...meetings. The first thing is just for people to get to know each other. So we started having meetings. ... I said, 'Okay, everybody just bring a problem that you think is interesting...an applied problem....' And so we had [groups of] two [faculty from each of the two departments] sit at a table and try to solve each other's problems and talk about them. They learned something. They got some ideas about some interesting ... problems, and they also got to know each other. And out of that meeting came two or three projects. And...I couldn't have predicted what those projects should be. (Dean A 8/2/96, 5)

Later, after the faculty in separate departments within the division became acquainted with each other, the dean planned several structured opportunities for cross-departmental faculty groups to share information about curricula and instruction in their departments.

Department A faculty responded very favorably to these efforts. The current dean has been at the college for only three years; his encouragement of cross-departmental faculty interaction was a major departure from the practices of the previous three deans, all of whom had dealt individually with the several departments under them and had made no efforts for the faculty from those departments to get to know each other. Several long-term

Department A faculty members at the college stated that they never before had been given either the encouragement or the formal opportunity to get to know the faculty located upstairs in a related, applied discipline department:

> We used to be first floor and second floor faculty. [Dean A] has [established] cooperative curriculum development projects between [the two departments]. He has had a cooperative influence. (Faculty A-1, full-time 4/13/96, 2)

Interestingly, Dean A does not consider himself a planner. He stated that he did not have any particular curricular or instructional outcome in mind when he began arranging for all of the faculty in his division to meet. Rather, he sees his role as visibly demonstrating trust in the faculty's ability to determine appropriate improvements in curricula and instruction through their interaction with each other. He even stated that he thought it would be a bad idea for him to specify a precise direction for instructional innovations:

> I don't think I'm that much of a long range planner....So I don't have any preconceived idea of what [the innovation] is going to be. I think there is a real danger [in that]. I've been reading in the literature where everyone thinks they know where technical education is going, and then everybody goes that way. That's just a bandwagon. I think there are some things that would appear very conservative that are maybe the right thing to do. So I don't have a program for our faculty [telling them], 'this is what our program should look like five years from now because this is what's happening nationally, and this is what we've got to do.' The faculty will figure out what we have to do, and it will be based partly on what's happening nationally, and partly on what's working in their classrooms, and partly on their personal interests, and that's a healthy way for [innovation] to happen. (Dean A 8/2/96, 5)

The dean's demonstrated trust in the faculty's abilities has led Department A faculty to trust him--with all the concomitant advantages to the college and its students.

Department A faculty present proposals for curricular and/or instructional projects to their dean whenever they have an idea that they would like to try. Dean A is always open-minded about proposals for instructional innovations:

> I see myself as a kind of idea broker. ...I hear people expressing things to one another or trying things I see in their classes when I visit. They come to me with ideas, and a lot of what I try to do is hook up a person over here with an idea with another person with an idea. I say to person A, 'Have you talked to person B because I hear, or I saw, that B was doing something kind of like what you're describing? You ought to visit her class because it sounds like what you're describing, and it seems to be working. Or it didn't work, and here's why.' So clearing the path, being an idea broker, ... encouraging people to try new things, in a very simple way. (Dean A 8/2/96,1)

Once an idea is discussed and developed to the point of considering whether to try it out, particularly if the idea involves curriculum or instruction for the entire department, it is presented to the department's curriculum and instruction committee. Officially, this committee consists of all faculty in the department. However, because part-time faculty are not paid to attend these meetings, and may be unavailable at the time a particular meeting is scheduled, relatively few part-time faculty attend. Thus, decisions are made typically by the full-time faculty in a department. The dean stated that he attempts to find the resources needed to pursue projects approved by the curriculum and instruction committee. Faculty strongly agree that their current dean willingly and enthusiastically supports faculty projects. (Faculty A-1, full-time 4/13/96, 2).

The dean's approach is effective with Department A faculty and contrasts markedly from the approach of the previous three deans. One long-term faculty member described how the previous three deans' "can't do" attitude maintained the status quo instructionally and dampened faculty interest in pursuing instructional innovations:

> "...there were always the roadblocks, 'There isn't sufficient money to be able to do that, no we can't send you to that workshop to learn about that, oh no, no, no, we can't change the number of credit hours we offer a course for--that'll throw everything off.' I mean, there was this constant, 'Oh no, there's no way we can possibly try that.' It was just kind of the general response that was frequently received...." (Faculty A-2, full-time 10/29/96, 2)

In addition to the lack of interest in and support for instructional innovation, the previous deans' clear lack of trust in the faculty's ability further stifled their creativity and instructional innovation:

> Always before [the current Dean A] there was the sense that you were being checked up on and that if you were finally allowed to do something new and different and incorporate it, that somehow this was going to be directly connected to your continuing employment at this college, or something. It was like, if you failed, it was all over for you, or something. It was this 'make or break' attitude, 'prove to us that this will work....' It was never support, 'what can I do to help you?' None of those kinds of comments were ever made. So it was always very discouraging." (Faculty A-2, full-time 10/29/96, 2)

The sense of being "checked up on" by previous deans was pervasive. It extended beyond innovation projects to a faculty perception that the previous deans' main concern was to monitor the number of hours faculty members were at their desks. That consequently dampened faculty motivation to expend the extra effort and overtime necessary for what they considered undervalued and inadequately supported instructional innovation projects:

> [The former three deans' management style] had a dampening effect. [Faculty] thought, 'If he needs us to punch a clock and account for every minute, why should we do more?' (Faculty A-1, full-time 4/13/96, 2)

Nevertheless, Department A faculty members had implemented a number of small but successful instructional innovation projects during the years prior to the current dean's arrival, such as, efforts to better articulate their community college curricula with that of local high schools. However, these projects were chiefly special interests of the previous dean:

> Innovative projects were only those the [former] dean was interested in: professional technical vocational articulation with area high schools. We developed *his* ideas. He liked [professional technical articulation].... [The projects] were needed, were good projects--but top-down. (Emphasis in original) (Faculty A-1, full-time 4/13/96, 2)

Beginning in the late 1980s and in spite of the perceived lack of support from their dean at that time, a number of Department A faculty members became interested in adopting the recommendations of the then growing national reform movement in their discipline. Some of the recommended innovations included using "hands-on," concrete instructional techniques to present abstract concepts and to increase the use of technology in discipline A.

The first steps toward implementing these changes were for the curriculum and instruction committee to approve the use of new technology in intermediate Department A courses and to find funds to purchase the necessary instruments. Faculty successfully obtained a small in-house grant designated for "instructional improvement" to purchase instructional equipment for their department, but much more support would be needed to implement fully the large-scale instructional and curricular reform that faculty hoped for at the college.

In 1992, several faculty members decided to look outside of their department for a grant to fund their efforts to reform their curricula and instruction. Several instructors got together to write a proposal for a private foundation grant. They had no experience writing grants and sought advice from their dean and the instructional dean directly above him:

> "...the idea [for what became the Title III grant] was developed before [Dean A] came on board, and we had worked on it. I was on the grant-writing team, and a couple of years prior to us actually writing the successful grant, we put together first and second attempts, but there was no support again. There wasn't a lot of support from within the college. We would go to the higher deans, and they said,"That's a great idea--you go ahead and write that thing!" Well, we didn't know anything about writing grants....We didn't know anything [about] how to structure these [to] fit the format...needed...for whichever type of grant we were going for because we talked about [a private foundation] grant.... And it was, "Here's the book, you read through it." Well, no way. And then that year [the new Dean A] came on...." (Faculty A-2, full-time10/26/96,2-3)

After the new dean arrived, progress began to be made. Dean A's provision of opportunities for faculty in Department A to share ideas with faculty in applied areas helped Department A faculty to see how to use a "real-world applications" perspective in teaching their discipline. This perspective was being recommended by the national reform movement as a goal for discipline A, so it helped faculty develop ideas for a successful grant proposal.

Next Dean A began talking with various people in upper management, working again as an idea broker. He learned that the education vice president had concerns about the high attrition rate in Department A courses and was interested in having a model program developed to increase student success. The education vice president was aware of a funding opportunity for such a project via a federal Title III grant:

> ...[Discipline A] has probably the highest dropout rate, or non-success rate, in the institution, so we target [that department] through a Title III grant, saying if we can improve [discipline A], we can probably use that as a model and improve anything. This is our real problem area at [the college]. (Education Vice President 7/26/96, 6-7)

Eventually through Dean A's efforts, the education vice president, the director of institutional research, and the college president became involved in supporting the Department A faculty in their efforts to secure funding for innovation. The college foundation office provided money to obtain the assistance of a grant writer. Faculty were very receptive to the Title III grant idea largely because they were permitted to shape the content of the proposal in their own way:

> " ...a bunch of us just kind of all of a sudden [were] involved. I was involved because when I was involved in the discipline A center, there were some things I wanted to do differently..., so I had kind of toyed around with trying to write a proposal for primarily technology at that point. Well, it kind of blossomed and [we] said, 'We want something more than just technology; we really need to do a whole reform of our curriculum. So we had been wanting to do that, and the [curriculum and instruction committee] had been wanting to do that, but when this Title III opportunity [came], when [the education vice president] came and said the college would like to seek a Title III grant, ...well, we all already had good ideas fostering and sort of forming, so we said, "Sure." (Faculty A-2, full-time 10/26/96, 4)

Dean A obtained resources and support from upper administration but allowed Department A faculty to decide for themselves how best to change the curriculum and instruction to increase student success in Department A courses. In this way, he communicated his trust in the faculty's ability. Dean A worked with the faculty to put together a team to write the Title III grant proposal. The team was chiefly composed of full-time Department A faculty members, but also included the college grant writer and Dean A. By making time to help with the actual work of planning the grant proposal, Dean A demonstrated his commitment to Department A faculty's goals.

The grant was not funded originally, so faculty rewrote the grant proposal the following spring. The next fall, they received full funding for the first year of a five-year grant. Writing the grant proposal was the key activity of the planning stage for a major curricular and instructional innovation in

Department A; this work was done almost exclusively by faculty. The dean stated that he had participated on the grant writing committee, but only in the capacity of one of the committee members. He said that for him to withhold his ideas would be unhelpful to the group and boring for him. In this way, he performed an important team management function, that of modeling the desired interpersonal behavior among group members:

> ...I honestly don't withhold my opinion about things. I get into the discussion. ... I also tell them what I think, but tell them in a way that doesn't necessarily come from my position of authority. It's just my opinion, and they can take it or leave it. I don't insist that [they] do it [my] way, but [I tell them] my experience is such and such. I try to model the kinds of exchanges that I'd like to see them have. That's very different from saying, 'This is the theory. This is what we're going to do. These are the steps.' (Dean A 8/2/96, 8-9)

Once the Title III grant was funded, Dean A appointed a faculty member to serve as the coordinator of the overall curriculum reform project. Some of the grant money was used to release her from teaching responsibilities, so that she could concentrate of the innovation project. Together with Dean A, the project coordinator set up a steering committee for the project and a sub-committee for each Department A course. Each of the course sub-committees planned the new curricula, instructional requirements, and technology for their course. Yet another sub-committee planned the details of how the project would be evaluated in the end. The steering committee kept track of the various sub-committees and ensured that the various new course curricula were designed to fit together smoothly for students. They also planned staff development activities for all Department A faculty, part-time as well as full-time, and recommended changes in hiring requirements for future Department A instructors. Dean A attended various meetings of the different committees and talked with committee members. He also met weekly with the overall project coordinator to assess her progress and offer assistance if she needed any.

In these ways, Dean A demonstrated effective management and leadership skills in planning and initiating instructional innovation. Although he acted upon his philosophy that faculty should decide on the curriculum and how best to teach it, he actively led the planning process, albeit indirectly. As a leader, he provided opportunities for faculty and upper management to exchange ideas and develop a common vision of the future of discipline A instruction at the college. He also successfully acquired the support and resources from upper administration to make the instructional innovation project possible. As a manager, he encouraged faculty to pursue new ideas and demonstrated his trust in their ability to carry out innovation projects successfully. He modeled effective group process behavior, especially that of thoughtful and respectful debate. He coached faculty to help them become more productive team members. Every single faculty member, full-time and part-time, that participated in this research--including those who were not fully committed to the specifics of the discipline A reform project-- were aware and appreciative of their dean's involvement and support.

Monitoring and Evaluating Instructional Innovation in Department A

Although the Department A instructional innovation project was not concluded by the end of this research study, Dean A demonstrated competence in monitoring the portions of the innovation that had been implemented. Also, he made sure that faculty included, during the earlier planning phase of the project, detailed plans for the reform project's comprehensive evaluation.

Dean A takes a leadership role in setting the stage for continuous instructional innovation and improvement in Department A. He does this by monitoring regular instruction as well as instructional innovations. Dean A makes regular classroom visits, which are wholeheartedly welcomed because he has developed a strong, positive, coaching relationship with the faculty, and because they trust him. Part-time faculty, in particular, are amazed and highly pleased that the dean not only takes the time to observe their teaching but also give them constructive feedback:

> ...[The dean] does make suggestions. He visits the classrooms, [of] part-timers and full-timers to find out what's going on. ...when an idea pops up in his head, he shares it with us, whoever's involved in teaching that course. And he keeps reminding us about it and asking us if we've looked into what other schools are doing, and keeps tabs on all that. (Faculty A-3, part-time 11/4/96, 2).

Part-time faculty feel highly motivated by the interest they believe that the dean takes in them and their work:

> As soon as [the current Dean A] came on board, he made an effort, even with the eighty part-timers that there were, to get to know not only the full-time instructors but also the part-time instructors. ...He's tried to visit at least one of everybody's classes, which I have never heard of a dean doing before. [He] sits down to talk to us--[it's a] totally non-threatening situation--about what we are doing, if we are aware of some of the things that are going on in Department A, and what things we are working on at a personal level.
>
> (Laughs) I don't even know the name of the previous dean... I know it was a male, but I don't know...never met him, never have seen him. (Faculty A-3, part-time 11/14/96, 3-4)

The dean also evaluates students' satisfaction with instruction in Department A courses. At the end of each term, the students at the college fill out a course evaluation in each of their credit classes. Dean A reads the student evaluations for the Department A courses and sends written comments to each of the faculty members about their student evaluations. A part-time faculty member said she believed that the comments were "a little bit more in-depth [for] the full-time [faculty]," but she was nonetheless pleased at the dean's obvious interest in her teaching. (Faculty A-3, part-time 11/14/96, 5).

Occasionally, there is a student complaint to address. The dean stated that at times he had to perform the role of "police officer," to enforce compliance with either the faculty contract or instructional standards. He stated this matter-of-factly, conveying the impression that he accepted the necessity for that role:

> The [dean's] role is...complicated because you do need to be a policeman in certain circumstances. A few [faculty members]

> will try to take advantage of the system and not do their job, and you have to be ready to deal with that--to let people know that they can't get away with that. And at the same time, you might be encouraging that same person to do something innovative...(laughs). It can be done. (Dean A 8/2/96, 1)

Even in this potentially uncomfortable situation, faculty trust their dean:

> He's the type of manager that supports you, not tears you down. I've had administrators at this college, that when a student complaint was issued, or whatever, immediately you were assumed to be wrong, and when you were talked to, you were immediately put on the defense, 'So this student came; so what were you doing wrong in this class?' [The current Dean A] doesn't do that. He takes this proactive, positive approach to problems--boy, is that a change around this place! (Faculty A-2, full-time 10/29/96, 7)

The dean's monitoring of classroom teaching and evaluation of student satisfaction demonstrates clearly that the dean values high quality instruction. Although monitoring instructional quality could be perceived as a negative 'policing' role, the dean's positive attitude has led the faculty to see him more as a coach than a police officer. One part-time Department A instructor noted that if there was a major problem with an instructor's teaching, Dean A would "write [it] up in your professional development plan." "Still, it's a non-threatening situation," she added (Faculty A-3, part-time 11/14/96, 5). Faculty are astonished at how much time the dean spends, particularly on classroom visits, monitoring instructional quality and coaching faculty to improve their teaching. These activities, of course, are simply hallmarks of effective management. That Department A faculty are surprised by their dean's emphasis on quality teaching suggests that not enough deans are paying attention to it at the college.

Dean A challenges and encourages faculty to continuously improve their teaching, rather than merely policing faculty for compliance with the minimum requirements of the faculty contract. Faculty, keenly aware of the distinction, welcome his monitoring and coaching of both teaching in general and with regard to the changes in teaching required by the discipline A reform innovation project. They believe that his suggestions for improvement are in their best interest. Not one subject mentioned feeling threatened by the dean's visits to his or her classes. Classroom visits to monitor instruction have allowed the dean to give faculty useful feedback about their teaching. Faculty understand that they need feedback to improve, and that the dean will coach and support them as they make improvements, so they are not afraid of getting feedback. Overall, Dean A has established the value of continuous improvement in Department A.

The dean's classroom visits accomplish another important management goal; they allow him to get to know instructors individually and build relationships with them, which further enhances his effectiveness as a coach:

> Oh, [the dean's] really wonderful...he knows who I am. He acknowledges [me]. ...I get that he cares, quite a bit. He's interested enough in what I'm doing to physically come to my classes to see what goes on, and then to talk about what went on afterwards. And he's been available to me just to discuss the questions a new part-timer might have--I've been able to visit him in his office. (Faculty A-4, part-time

11/1/96, 2)

Although monitoring classroom teaching and evaluating student satisfaction are not exclusively related to the discipline A reform instructional innovation, they accomplish many things that make monitoring of the innovation go more smoothly. On-going monitoring of classroom instruction provides both the dean and Department A faculty with current feedback on the discipline A reform innovation as it is implemented. Because the dean observed instruction before the introduction of the new curricula and teaching techniques, he is better able both to monitor and to evaluate how the instructional changes affect Department A's program overall.

Dean A also is monitoring the instructional innovation as it is being implemented. Again, faculty are unanimous that his involvement is beneficial. One faculty member praised the dean for keeping up with the progress of the various committees involved in carrying out the instructional innovation:

> ...what he does is a lot of monitoring of our Title III group and sub-groups. Within our subcommittees, he does come, he does listen, he does monitor. He knows what's going on all the time.
>
> I think he really likes to keep informed on things that are going on in his division. I think that's wonderful. ...I do take that as caring, I take that as, he's really interested in what we're doing down here, as well as what other departments are doing. (Faculty A-5, full-time 11/12/96, 3)

Another praised the dean for effectively serving as a liaison and resource broker with upper management, and for participating without micro-managing:

> He acts as the liaison person--you need somebody [in]

> high[er] management to do something, but [you are at] too low a level to get hold of that person, then [Dean A] acts as that go-between to negotiate whatever we need.... [He] doesn't micro-manage, but also makes sure he's very aware of what we are doing. At the same time, he's very excited about it and wants to know and participates. (Faculty A-2, full-time 10/29/96, 7)

Just as Dean A worked to acquire necessary resources during the planning stage of the instructional innovation, he continues to serve as a liaison between Department A's faculty and upper administration during the implementation phase. For example, he advocated for Department A faculty and worked effectively with upper administration to get permission for exceptions to various bureaucratic policies that hampered the instructional innovation efforts. He also worked to acquire additional resources, such as space or equipment, as the need arose. Department A faculty were especially pleased when their dean was able to negotiate for them to have new equipment for their lab.

Dean A also ensured that training in instructional methodology for the discipline A reform project was available to part-time faculty as well as full-time faculty. Part-time faculty often teach at several different community colleges, so staff training sessions were offered on Saturdays when most of the faculty would be available to attend. The importance of the training was emphasized by paying the faculty to attend, rather than merely inviting interested faculty to participate if they felt like it. That approach resulted in nearly all faculty participating in staff development related to the discipline A reform effort.

During the weekly meetings with the project coordinator, Dean A would help her with any problems that arose during the implementation of the reform effort. For example, when the reform project coordinator reported that a small group of part-time faculty at one off-campus site were not attending staff training sessions, the dean handled the situation with respect for the faculty involved. He assumed that the faculty in question simply had not received adequate information about the relationship of the training to the department's extensive reform effort. His response was to provide additional information for those faculty and to explain to them the importance of the staff training. This differed markedly from the previous deans who, in such cases, usually assumed deliberate faculty wrong-doing or laziness. The assumption of good intentions and the respect shown to faculty helped motivate those part-time faculty to attend future staff development training sessions.

The dean reported another managerial role that he considered essential to successful department-wide instructional innovation: facilitating group process. The dean carefully monitored and facilitated faculty participation in the various committees that managed the innovation effort. He also monitored and facilitated the quality of the relationships among faculty participants. On one level, he simply watched to see how different faculty members were responding to proposed curricular and instructional changes in the department, and tried to understand what kinds of concerns fueled their resistance:

I think my monitoring has been more... watching and

> tinkering...as necessary, with the politics of the discipline A community. [For example], where you got a faculty member who, say, feels threatened by the changes that are being made. It's interesting, the same change will draw out fear from both ends of the spectrum. That is ... if you are going to make the following changes in a Department A class...those people who represent the most conservative elements of the department will see that change as threatening. Those people who represent the most liberal will see the same change [as threatening] but certainly for different reasons. And so, in that sense, they are also conservative. (Dean A 8/2/96, 6)

After gaining an understanding of the concerns, the dean worked to facilitate the inclusion and participation of faculty who disagreed with the direction that the discipline A reform innovation was taking. When asked what he did about faculty resistance to change, his reply showed considerable understanding of the resistance and also respectful compassion in dealing with it:

> Reassure people. Often it has to do with, say, the more conservative faculty member, reassuring him.... The resistance to change isn't the biggest problem. ...the problem is hidden resistance to change. That, let's say you have a faculty member who believes in a more traditional way of teaching. That in itself isn't a problem because there's value in the more conservative way of teaching. It's when that faculty member refuses to express themselves (sic) or be part of the fight. To get in and learn about other alternatives. It simply happens that the other extreme, the more aggressive faculty member says, 'no, this isn't going the right way; I'm out of the process.' And then you've lost both of them. Lost their input. They will tend to create certain negative waves, and so it's not so much resistance to change..it's people opting out of the discussion. What I've done there a lot is talk to those people and say, 'Your ideas are needed and important. Why are you withholding your ideas? ...You know, your wisdom is needed in this process. Please come back in and let us have it.' So, a lot if it is real simple, kind of human stuff. (Dean A 8/2/96, 7)

Faculty members are aware of the dean's role in facilitating an exchange of different opinions. One faculty member, who describes herself as having chosen to be 'on the fringes' of the instructional innovation effort, stated that the dean manages and smooths over faculty conflicts that impede progress:

> ...last year, when we were trying to get the new elementary Department A curriculum approved, there were a lot of people that were voicing strong opinions as to certain things...and [the dean] was talking individually to the people, and saying, 'Now, what are your concerns here? What is so bad about this? What don't you like?' And so I would say he was monitoring the process because he was watching what the committee was trying to do, and he was talking with the people who were maybe impeding the progress of that curriculum change being approved. (Faculty A-6, full-time 11/14/96, 4)

That same faculty member felt that the faculty who were very committed to the reform instructional innovation tended to 'strong-arm' faculty who disagreed. This was also the only criticism of the dean that was ever voiced throughout all the interviews conducted in Department A. The faculty member described how one person, who disagreed with the direction of the new elementary Department A curriculum, had taken:

> ...time to go to lunch with the chair of the committee and try to express concerns and the chair of the committee sort of lent a deaf ear. Then that same...faculty member who had the objections, was approached by [Dean A], sort of like, 'Well, now, what is your complaint about this?' And so this person felt a little threatened, a little squashed, like, 'I'm not allowed to have this opinion anymore, and I don't believe this is right, and I'm trying to get my concerns heard, and they're not being heard. Everybody's trying to stop me.' And so that's my only indication that maybe some things weren't well-received from Dean A. (Faculty A-6, full-time 11/14/96, 4)

On the other hand, the same respondent noted that the dean had been willing to go to the elementary Department A course sub-committee and intervene on behalf of a group of faculty who wanted to keep the original elementary course. "So I'd say he's willing to try to get the committee to make some adjustments [to accommodate those who dissent] (Faculty A-6, full-time 11/14/96, 5). Her overall assessment was that the dean "doesn't force" things on the faculty, but he "just doesn't want us to get in a rut, or get behind...." She added, "I think he's sort of balanced; I don't think he's pushing us to jump off the deep end." Thus, she sees the dean as a strong change agent, but not as overly coercive in that role. Respect for the dean as a fair and balanced person, is evident throughout the faculty, including among those who are most hesitant about the direction of the instructional innovation effort. The trust and respect Dean A has earned as a competent and balanced manager and leader enhances his effectiveness both as a change agent and as a conflict negotiator.

The dean has not been highly involved in the overall evaluation of the discipline A reform effort. Primarily that is because in the first year of the project plan, the dean delegated to a faculty committee the responsibility for the overall evaluation of the project. The faculty coordinator of the discipline A reform innovation effort described the committee's work:

> First the leadership team set goals for the project. Then we had to write detailed objectives and put it [the goals] in measurable terms. ...The goal is to reduce attrition. (Faculty A-1, full-time 4/3/96, 5-6)

To increase the objectivity of the evaluation as well as to reduce their work load, faculty decided to use some of their grant money to hire an outside consultant to carry out the actual reform project evaluation. That decision will allow Dean A and faculty to gain an independent, summative evaluation of the innovation project. The summative evaluation will then be used to correct any problems noted and to determine the next steps in a process of continuous instructional improvement.

Dean A has been quite successful in monitoring and setting the stage for evaluating the reform instructional innovation project. He has kept involved with the progress and process of the project. Also, through the high-trust relationships he has developed with faculty, he has been able to motivate them successfully. In spite of all the additional work involved in an innovation project, Department A faculty describe themselves as highly motivated to be innovative in their teaching, to monitor their effectiveness as instructors, and to use the feedback they receive to continuously improve their teaching and the curricula. Even faculty members who were not completely satisfied with the direction of the current reform innovation stated that they were committed to monitoring and improving instruction and curricula. This, of course, sets the stage for on-going instructional improvement efforts. In this way, the dean has faculty willingly participating with him in the monitoring of instructional quality and innovation.

The dean's ability to monitor and evaluate instructional innovation are dependent upon his general skills as an effective manager plus his leadership skills at leading change. The dean is effective as a manager in large part because he understands the complexity of his position and works hard to balance the many leadership and management tasks involved. For the faculty to be willing and able to carry out a successful instructional innovation project requires first, that the dean develop and maintain the faculty's trust and second, that he earn their respect for his skillful leadership and management both of the department and of instructional innovation projects.

CHAPTER V

THE DEAN AS MANAGER

Planning and Initiating Instructional Innovation in Department B

The dean of the second department studied, hereafter referred to as Dean B, handles planning for instructional innovation very differently from Dean A. Apparently, he considers the details of planning and initiating instructional innovation to be a faculty responsibility. He is active, however, in scanning the environment to learn the direction instructional innovations should take. The department's advisory committee, composed of local business and industry representatives, keeps the dean up-to-date on the training and education needs for new workers. He also continually improves his own computer application skills, which provides a model for faculty. Virtually all Department B faculty noted that their dean keeps them aware of the pressure from community employers to continually upgrade both their personal computer skills and use of computer-related applications in the courses they teach:

> Our dean is requiring--it's not negotiable--requiring, that the faculty gets the skills to work with today's technology--and he makes a good point that we have no credibility with our student population anymore if we don't move on into what people are really using in [the outside world]. (Faculty B-1, full-time 11/1/96, 3)

Another added: "The world is changing so fast, if we don't change, we know we're going to be in trouble. ...Even if we're not doing [instructional innovations] yet, we are thinking about them" (Faculty B-2, full-time 10/5/96, 3).

In this department, the dean attempts to set the direction for instructional innovation efforts. From input from the advisory committee and more recently from the college president's public address, the dean has determined that Department B should be making a major effort to offer a degree program that students can pursue entirely via distance education--telecourses, EdNet modem courses, and Internet courses--if they wish. He has pushed Department B faculty to learn to teach these distance education courses; his goal is for Department B to move to the forefront of alternative instructional delivery systems at the college.

Yet other faculty members were doubtful about their dean's leadership of instructional innovation. One faculty member stated that there was no overall planning at the department level or in the faculty curriculum and instruction committee. Instead, she claimed that the dean simply reacted to what faculty perceived as impulsive changes of direction from upper management:

> ..the modem-delivered classes ...were almost all cut from our curriculum last year because it takes so much more time to interact with the students, and in that kind of forum, you can't take 40 students or 45 like you might in a face-to-face classroom so the enrollments were being held down to 20 per section, and all the classes almost got cut because it was expensive.... But when the president jumped on the bandwagon and said, "This is the way to go, we need a lot more classes, we're going to offer

> a degree [via modem/Internet] by the end of fall term," all of a sudden, it seemed like there was a push from [Dean B] to say, 'what can we do to get classes on board, how do we get [faculty] involved?' ...but it seemed like [Dean B's interest] came a year and a half after the process had already started [underground] by individuals. (Faculty B-3, full-time 10/8/96, 2)

Department B faculty members differ in their perceptions as to whether their dean encourages instructional innovation. Several faculty members believed innovation was wanted but not encouraged. One faculty member said, "I think the dean would encourage innovation, but I don't think he's involved with it directly," (Faculty B-2, full-time 10/11/96,1). Another faculty member reported, "...individuals are encouraged to do as much as they can, as much as they want to, as long as it doesn't cost any money to the school, or any release time" (Faculty B-3, full-time 10/8/96, 6). Other Department B faculty were divided. Some agreed that instructional innovation was encouraged; others stated that it was not supported, and they therefore concluded that it was not particularly strongly encouraged. Yet, nearly all agreed that the dean would look favorably on faculty initiated teaching innovations.

One instructor pinpointed the particular way in which instructional innovation was encouraged by the dean, "I think he's pretty much up front in terms of one-on-one encouragement. ...it's probably more on a one-on-one basis as I see it," (Faculty B-4, part-time 10/31/96, 3). The differing perceptions about the dean's encouragement of instructional innovation may be due partly to his preference for working with people informally and individually, rather than as a group. When asked, for example, how a telecommuting work option was planned and initiated for a faculty member he supervises in another department, the dean replied:

> It was more a conversation probably, you know, I don't recall exactly where it started, but we were talking in a group...probably at lunch or something....Either there may have been one or two faculty around, I don't know, and I said that I'd like to try it sometime with someone, so one of the faculty came out and said that intrigued her. (Dean B 10/17/96, 2)

Dean B's preferred one-on-one interaction pattern seems to limit communication and the flow of information generally. One result is that support for innovation opportunities appear to some faculty to be based on the dean's personal preferences about whom to work with:

> [Initiating innovation efforts] is kind of hit or miss; he picks out individuals he works well with and charters those individuals to do certain tasks. And then works with those individuals to maybe give them special arrangements in terms of hours or money or...[The innovation's] not done on a department basis...it's done person by person. (Faculty B-3, full-time 10/8/96, 7)

Several others also noted that the dean carefully hand-picked people to work with on innovation projects, and although no one actually said that the dean played favorites with faculty, hints of that sentiment were evident when a specific faculty member who had previously been involved in an innovation project with the dean was described as the dean's personal friend.

The preference for one-on-one interaction might be made to work if it were coupled with effective department meetings. Yet another aspect of the limited communication between Dean B and his faculty is that department meetings are perceived by several faculty as infrequent and ineffective:

> We've had two department meetings this term, and we didn't even have two department meetings all last year (laughs). Well, that's part of the problem...the two meetings this year, the dean's been there and I think that hampers participation Somewhat. ...They tend to be long meetings that are very quiet (laughs). (Faculty B-3, full-time 10/8/96, 5)

Another faculty member believed that, "We seem to have a culture here of no meetings. The goal is to avoid meetings...." He added that part-time faculty were more or less excluded from department meetings because there was "an informal policy that says that [part-time faculty] don't get to participate in the selection of texts or important decisions" (Faculty B-5, full-time 6/10/94, 6). Regarding meeting with other departments within the dean's division, another faculty member commented:

> ...they force us into one meeting together in the fall and we never see each other again for a year. I mean this budget kind of organization...they [the other departments in the division] have nothing to do with us...we compete for students and classes. (Faculty B-2, full-time 11/19/96, 4)

This differs from Dean A's success at developing cross-departmental relationships within his division.

Faculty members also perceive limited communication with their dean outside of department meetings, and several take it rather personally by attributing the limited communication to the dean's having a negative attitude toward the faculty in Department B:

> My impression is that [Department B faculty are] kind of perceived [by the dean]as being a problem group, so there is as little interaction as possible, Not, "It's a problem group, how do we turn it around?" but, "It's a problem group, it's never going to change, so leave it alone." (Faculty B-3, full-time 10/8/96, 6)

The perception of being thought a "problem group" by the dean carried over to the perception that, although the dean had some "pet" innovation project ideas, the opportunity for faculty to try out something innovative was not being given to faculty in Department B:

> Oh, ...the dean certainly has some pet projects, but I don't see them within BA right now. I see them maybe in some other areas. (Faculty B-3, full-time 10/8/96, 6)

Another unfortunate consequence of the limited communication with the dean is that many faculty members simply do not know what instructional innovations are going on in their department. This is, of course, the opposite of fostering faculty interaction to share ideas for instructional innovations. When asked if there were any instructional innovations in the Department B, several faculty members seemed hard-pressed to think of any. A few were aware that a couple of instructors were trying out modem-delivered courses or Internet courses. At the other extreme, one even asked what was meant by the term instructional innovation. Most of the faculty had no concept of a department-wide innovation effort, and instead told of personal efforts to improve their teaching. One instructor stated that he had attended a conference in another city a few years previously, at which faculty from all over the United States had shared teaching ideas. He said that he had made a personal commitment to try out one new instructional idea each academic year. These were ideas for ways, other than through lecture, to present information to students.

Others talked about sharing ideas with a colleague about new ways to present information in the classroom. For example, one instructor said that he always liked to debrief after class with another instructor who taught the same courses as he did. He felt that opportunities to discuss teaching profitably with colleagues were limited in Department B because the department offers so many specializations within the discipline that it was difficult for faculty to share ideas:

> ...even though we're all [Department B faculty], we're all different, and so what I would be doing would be a different thing than [another instructor] might be doing.... (Faculty B-2, full-time 10/11/96, 2).

In the past couple of years, the isolation of faculty into different sub-disciplines of the department has been aggravated by declining student enrollment in Department B courses at the college. The low enrollment has resulted in many Department B specialty areas having just one full-time instructor. Faculty isolation by sub-discipline makes department-wide innovation efforts unlikely to be initiated through informal faculty interaction.

When individual Department B faculty members are sufficiently self-motivated to initiate an instructional innovation, they report little to no support from their dean. One instructor had heard about telecourse offerings in other academic departments. She was personally interested in alternative technologies and alternative methods of instructional delivery, so she sought permission from Dean B to offer a telecourse. Although the dean was happy to grant permission, the faculty member stated that she had to learn about teaching a telecourse from the distance learning specialist at the college and had received limited encouragement from Dean B as she worked though the process. When she later decided to try her hand at teaching a modem-delivered course, two other faculty members also wanted to get involved. Because they received neither support nor guidance on how to teach modem-delivered instruction effectively, they did not do well with it and had negative experiences. She added that neither of them were involved any longer with modem-delivered courses--or any other instructional innovation projects.

Dean B's lack of support affects many aspects of instructional innovation. As noted above, faculty feel that innovation is neither funded, encouraged nor guided. Other complaints about lack of support focus on lack of time and money for adequate new course development. One instructor described how the problem of inadequate support to develop new courses impeded faculty innovation efforts:

> The president wants it [a degree to be offered via distance learning], so [one faculty member] phoned the fellow who's in charge of distance learning ...yesterday about this, to see if they had any money yet. I mean first the president announces it and if you want to do it for nothing, you can start, or you can wait till, you know....But we really don't have time for that. I don't want money, but they want to

> give us money [$500.]. AndI don't want money, and [neither do the other full-time faculty]. We want the time to do it during the day. I don't want to do it at night [after work]. (Faculty B-2, full-time 10/11/96, 3)

Even after a decision was made to proceed with a particular project, no faculty member could list a single instance of careful planning for an innovation. One instructor cited the dean's reaction to the president's announcement that he wanted the college to offer a degree program entirely via distance learning:

> In the last week, there was a meeting called on about 30 seconds notice .... in just 10 minutes two faculty and the dean put together a plan on what classes in our curriculum should be offered via modem delivery and [in] what kind of time frames it could be done. It was about ten minutes. There was no thought put into it, it was very rushed. And while there were dates put on these things, the details--like what kind of release time is needed, how do we compensate these [faculty], what classes do we take away from them if we're going to do this development work--none of that was addressed. It's almost as if, [Dean B] want[s] to be able to show the world that we're doing this, but [faculty] need to go in and do it on [their] own time.' Right now, the resources haven't been resolved, the time hasn't been resolved. So, certainly [there has] not [been] the planning that should be involved if it's going to be a success. ...And two faculty probably aren't enough (emphatic) to get this going! (Faculty B-3, full-time 10/8/96, 3)

The instructor went on to say that no further meetings or effort to communicate with the faculty as a whole had occurred. She believes that the two faculty members are 'on their own' to make the distance learning degree in Department B happen.

One faculty member described Dean B's approach to innovation as his personal effort to coerce the faculty curriculum and instruction committee to approve the proposals that he planned. As an example, several long-term or "senior" faculty cited the dean's efforts to persuade Department B faculty to change their courses from three credits to four credits, which became a bitter power struggle in the curriculum and instruction committee. The dean presented the change as a way to increase enrollment by twenty-five percent. Younger faculty tended to go along with the dean. Senior faculty claimed that the dean was trying to inflate the department's enrollments artificially at the expense of students. The senior faculty claimed that the change would hurt students because it would cost them more money to take the 'same' course for four credits than for three and would limit the number of different courses students could take.

The biggest complaint from senior faculty was that the dean attempted to coerce faculty into voting to approve the new, four-credit classes. "He takes everyone [into his office] and lobbies and threatens them [to approve the change to four-credit classes]" (Faculty B-2, full-time 10/5/96, 4). This led some faculty members to generalize that Dean B's poor management skills were the chief barrier to instructional innovation in Department B: "There's one big reason [Dean B's management practices] you don't see more innovation in our department. We [faculty] are a reasonable bunch of people. We just need to get over this [problem with Dean B] (Faculty B-2, full-time 10/5/96, 4). All but one concurred.

> ...for a long time we [have] had poor communication, low

> morale, poor teamwork, and that...needed to be dealt with. I requested to the instructional dean that we have mediation to work with each other and the dean. (Faculty B-3, full-time 10/5/96, 2)

Other faculty members were even more blunt:

> ...[Dean B] doesn't realize that the morale's so bad we don't care what he supports, we're not always gonna listen to him.... I've just had it with this management style. It's just unbelievable. You know, we're professionals, [yet there's] no trust whatsoever. All 8 or 9 people in the division [that is, Department B] absolutely are just fed up. (Faculty B-6, full-time 10/3096, 8-9)
>
> I do know people who feel that he can be very oppressive. I know a number of people who do absolutely nothing because they just don't want to be involved because they don't want that wrath. I haven't experienced it myself, but I've observed it....[It's] more personal than directly related to that person's ability to perform, and [it's] related to other things...which I have viewed as unfair. I have not experienced this, but almost everyone else has. I feel my day is coming, no question of it. (Faculty B-7, full-time 10/30/96, 4)
>
> He attempts to motivate by giving a lot of direction and laying out expectations, but the fact is, he hasn't built relationships with us. ...within our division, nobody does anything voluntarily. That's not good--and it's not good for our students, either. (Faculty B-1, full-time 11/1/96, 9-10)

The only dissenting faculty member was the one several others describe as the dean's personal friend:

> I think the dean's leadership style is a very open style ...I see him as being outgoing, as being friendly, as being encouraging, willing to listen; at the same time, willing to take risks, within certain bounds. And the other thing is --I think this is a real important piece--he's willing to do the back-scene 'fighting' with the administration that will accomplish whatever it is that will take the department forward. (Faculty B-4, part-time 10/31/96, 7)

Dean B is as distrustful of Department B faculty as they are of him. Dean B describes the full-time faculty by saying that many of them are 'set in their ways' (7/11/94, 5). He complained that they were insufficiently available to students and gave as a supporting example that many faculty members took the three annual personal leave days permitted to them by their contract. His tone suggested that he thought truly dedicated faculty would only use those days in an emergency. Apparently, he believed that this justified policing his Department B faculty. He seemed resigned that many of them, especially the more senior faculty, would not be innovative, and his response was to police them to make sure that they followed the contract. This emphasis on policing compliance with the faculty contract has not encouraged instructional innovation; rather it has ensured that all Department B faculty are present on campus for the contractually required number of hours per week. It also has encouraged some of the more resentful faculty to watch the clock as carefully as their dean and to leave punctually as soon as they have put in their required hours.

One instructor found Dean B's management style so unpleasant that he avoid talking with him by spending as little time in the office as possible--with negative consequences for students as well:

> I used to spend a lot of extra hours advising students. Now I come in when I'm scheduled to and leave as soon as I'm scheduled to.
>
> You get so as you go the other way when you see him coming. I've tried to talk to him about it, but he won't listen. (Faculty B-8, part-time 7/9/94, 1)

This is particularly remarkable when many faculty, staff, and administrators at the college tend to work considerable uncompensated overtime.

Conflict between the faculty and the dean has precluded any opportunity for them to work together to plan and initiate instructional innovations in Department B, even were Dean B so inclined, which he is not. Conflict and poor communication have narrowed Dean B's perception of his role primarily to that of managing contract compliance rather than to that of planning for continuous quality improvement through effective instructional innovation.

Monitoring and Evaluating Instructional Innovation in Department B

Faculty in Department B are not aware of their dean playing a significant role in assessing the quality of instruction, either of part-time or full-time faculty:

> I don't think there's much monitoring of the part-timers--in the past, a part-timer was only observed if there had been student complaints or poor [student] evaluations. If nothing was heard, it was assumed the person was doing fine, and there was no evaluation of their classes. (Faculty B-3, full-time 10/8/96, 9)

When asked whether there was any support from the dean for effective teaching by full-time faculty, another faculty member responded:

> There is no communication as far as the classroom goes. This next fall we are going to have a [campus-wide staff development day of excellence in the classroom. I wish we could take a course in mediocrity before we got to excellence. (Much laughter) We are going to study excellence--we are so far from that! (Faculty B-2, full-time 6/9/94, 10-11)

Instead, they believe their dean defines his role chiefly in response to the state's system of reimbursing colleges based on their student enrollment rather than on the quality or effectiveness of instruction:

> I think the only monitoring that I see from an administrative standpoint is headcount...how many headcount are going through. Not, 'Are they finishing? What kind of feedback are they giving? Do they like it? Do they [not] like it? What are the grades?' No, it's just what kind of headcount [do we have]? (Faculty B-3, full-time 10/8/96, 3)

One faculty member believed that the dean learned to see his role this way because of upper administration's emphasis on enrollment:

> [Administration] thinks, 'Get them in there and send a report to the state for money. .....We get [a class roster] the fourth [or] fifth week, but all we do is add students.... If you have any students who are not on the list, add them. So they can be sure of their enrollment. We don't take... off [students who have dropped out by midterm]. We just add. I don't know why the state doesn't think of that. Why don't they pay us a little more for those who finish? To me, the whole thing smacks of waste. (Faculty B-2, full-time 6/9/94, 10)

To the extent that this view is correct, it suggests that Dean B defines his role chiefly in response to the bureaucratic structure and policies of upper management and the state rather than in response to the requirements of effectively managing faculty and encouraging instructional quality through innovation.

Full-time faculty were indignant at the lack of a serious evaluation role by the dean in response to their professional development plan reports, which are assumed to include an evaluation of their teaching effectiveness. One faculty member complained that no comments regarding his teaching effectiveness had been made; instead Dean B had written negative comments about a disagreement the two of them had had the year before (Faculty B-2, full-time 10/5/96, 1). Another faculty member stated that her report seemed to have been barely skimmed over. Judging from Dean B's lack of written response to it, she concluded that her professional development and competence were not important to the dean:

> I'm really energetic. For example, I put in all kinds of effort on my three year [performance] review...got student evaluations...got outsiders to come in and observe my teaching...and [the dean] just wrote three or four sentences. Not a lot of thought [went into Dean B's response]. ...I'm not complaining. [The dean] didn't say anything negative. He mostly didn't say anything. (Faculty B-3, full-time 10/5/96, 1)

In another conversation a few days later, the same instructor commented on how teaching performance is unrelated to the college's reward system:

> I don't think it affects your performance evaluations [from the dean] at all; it certainly doesn't affect your pay. You get paid the same whether you do the same thing, use the same notes you've been using for the past fifteen years, or whether you're innovative and try to do different things. (Faculty B-3, full-time 10/8/96, 8)

This perception again suggests that the dean defines his role in response to the structural, contractual, and policy requirements of upper administration, rather than in response to a concern for managing faculty effectively or leading instructional innovation efforts.

Another instructor reported that not only did the dean monitor enrollment, but also attrition. He spoke of one of his course sections in which thirty-nine students had enrolled, and twenty had dropped out by the second mid-term:

> There are reasons for not being there [i.e. dropping out], but we shouldn't be losing that many, and [the dean] makes a good point about that. There must be something in the way we are delivering, or something like that has to change. And I've had to change. (Faculty B-1, full-time 11/1/96, 4)

Upon monitoring the attrition in this instructor's class, Dean B dealt with the attrition problem through the role of police officer and insisted that the instructor make some changes in the way he taught. When asked if he had felt supported in the process of changing, he replied, "No, I felt pushed." He stated that he had received support from the dean's boss and from other colleagues. Although he conceded that he was a better, more effective instructor after making changes in the way he taught and upgrading his computer skills, he still resented the way it had come about:

> ...the dean's involvement often is one of 'blame and shame, and it's not the style that works very well for me, but at the same time, the point [of needing to upgrade one's skills] is well-taken, even if it is not well-delivered.
>
> It's very uncomfortable for me to be chastised quite vigorously by my boss. (Faculty B-1, full-time 11/1/96, 5)

The apparently minimal monitoring of part-time faculty instruction, the extremely brief evaluation of full-time faculty performance reports, and the high-pressure policing role used to deal with faculty whose classes showed excessive attrition all harmed faculty relationships with their dean. Most faculty believed that Dean B did not truly care about instructional quality or student satisfaction, but only the amount of reimbursable enrollment generated by the department. They did not experience enough positive feedback from their dean to trust him, so it would have been extremely difficult for Dean B to have attempted the role of an instructional coach. Indeed, several faculty members said that they were pleased that the dean did not monitor either regular instruction or innovation projects more closely:

> I would say the dean's role would be here, he does encourage us to do new things and says, 'If it goes awry, don't worry,'...he does do that, but he doesn't get involved in the monitoring... nothing like that. And I wouldn't welcome that. (Faculty B-2, full-time 11/19/96, 1-2)

A part-time faculty member, one of the few who reported having a good rapport with the dean, agreed that monitoring innovation projects also would not be welcome:

> ...the dean doesn't actually have a hands-on policy [regarding monitoring]. Personally, I don't like the word 'monitoring'...that makes me feel very uncomfortable because it has a control feature to it..but what [the dean] does is, tries to meet with these people [individuals he has assigned innovative projects to] on a regular basis and encourage them to come in and keep him up to date. (Faculty B-4, part-time 10/31/96, 5)

Several instructors who were not working on instructional innovation projects believed that although faculty were on their own to develop new courses and learn new technologies for delivering instruction, the dean would be willing to help faculty solve problems that arose if he were asked to do so. However, this research study was unable to find any example of such assistance by Dean B.

One instructor who previously taught a telecourse, at Dean B's insistence, received no help when problems occurred:

> It's, 'Develop it. See you later,' (implied quotation from the dean). On your own. It's okayed by the [curriculum and instruction committee], but it's on your own. I mean, if you need any help, I guess you can go in and ask for help. It's more like just design your own course. (Faculty B-6, full-time 10/30/96, 2)

Due to the lack of help with technical problems that occurred, the telecourse was not a successful experience for this faculty member. What little assistance with monitoring and trouble-shooting the course there was had been given by the college's telecourse office, not by Dean B. The instructor never understood exactly what was expected of him:

> After teaching about four terms, I didn't like it, and [the telecourse office] didn't like the way I did it, because I didn't do it their way...I don't know what their way was. I don't know how they monitor it, except that they can see everything that goes on. (Faculty B-6, full-time 10/20/96, 3)

In the case of this instructor, the monitoring that had been done by the telecourse office was not clear to him. Although he perceived that the telecourse was not particularly successful, he lacked clear feedback about his performance that could enable him to improve. Clearly he would have appreciated some coaching. After four frustrating terms, with neither monitoring, coaching, nor evaluation from Dean B, he returned to teaching via the lecture mode.

The dean described his role in monitoring somewhat differently. He did not emphasize his attention to student enrollment. Interestingly, the dean saw his division as leading the college in distance education and saw himself as an effective change agent leading this instructional innovation. He described a situation in which he had monitored an instructor's experience with modem-delivered instruction via an electronic journal that the instructor periodically sent to the dean via e-mail. The dean felt that he had established appropriate checkpoints to monitor the progress of this instructor. The dean also stated that the idea for the progress journal had been the instructor's, which demonstrated that the dean was willing to trust the faculty member to decide how to monitor the instruction.

What the dean did not mention (but another employee did) was that this was a special case because the instructor had muscular dystrophy; the "innovation" was allowing the instructor special accommodation as required by the Americans with Disabilities Act (ADA). The particular accommodation happened to be telecommuting; the instructor offered modem-delivered courses from her home. Nonetheless, that could have been a new monitoring and coaching experience for the dean, a chance for him to expand his role in relation to the faculty. Therefore, it is significant that no other instances of his monitoring instruction or instructional innovation efforts were known of in the department, in spite of the dean's statement that the e-mail journal had been effective, and that he had presented it as a model at a conference (Dean B 11/19/96, 6).

Dean B described e-mail monitoring of the telecommuting experiment as an instance of his effectively monitoring an instructional innovation. Unfortunately, it was also an instance of Dean B again defining his role in response to college policy--ADA policy in this case--and failing to see his management and leadership responsibilities more broadly in terms of the faculty.

Not a single faculty member, nor the dean, could give an example of a full, thorough evaluation of any instructional innovation. Instead, any course which generates strong enrollment is presumed to be of high quality. Although students are known to drop courses that dissatisfy them, it is also true that students enroll in and endure courses they find useless simply because the courses are degree requirements. In such cases students feel that they have no other options. Hence, automatically equating satisfactory enrollment with quality instruction becomes an excuse for ignoring the important role of the dean in monitoring instructional effectiveness of both regular courses and attempted innovations.

Another instructor noted that Dean B did not provide for summative evaluation of innovation projects, so there was no way to know whether an innovative instructional project had been beneficial to students. Lacking clear feedback as to effectiveness, the commitment to continue an innovation effort was erratic, which weakened Dean B's leadership role as change agent. As an example, the instructor cited the history of distance learning efforts in Department B. She noted that the college's upper administration and Dean B had been strongly in favor of distance learning--telecourse, EdNet modem courses, and courses delivered over the Internet. The faculty member agreed with the dean on this as an appropriate direction, and had been one of the early and few faculty members to embrace the new technology. Both Dean B and this faculty member noted that class size needed to be severely restricted during the introductory phase of a new instructional technology. Within less than a year, however, Dean B reversed his previous support of distance learning, only to reverse himself once again, six months later, when the college president stated that he wanted to see more courses available via distance learning. This lack of consistency added to Department B faculty's lack of trust In their dean.

These observations suggest that in following the lead of the college president, Dean B failed to monitor Department B's instructional capability or to consider how a newly designated direction for the college fit with the faculty's current level of instructional expertise and skill. The dean's role, if he saw any at all, in coaching the faculty to expand their instructional repertoires, or in leading a consistent direction for change, was not evident.

The narrow focus on monitoring enrollment also suggested to the faculty that the dean was assessing the cost of a modem-delivered course in the same way one would determine the cost of a on-campus lecture class. Missing the complete difference of the new technology simply made him appear uninformed to some of the faculty, who easily calculated the costs for themselves:

> ...The dean later cut back on modem-delivered courses because class size is limited to twenty. ...The dean considers this too low an enrollment, too expensive. It's actually a very cost-effective means of instruction because you only need an instructor, a computer, and a modem. The instructor could be anywhere. You don't need classroom space, faculty office space, parking space, and so on. Once the college factors in those savings, modem-instruction will be seen as cost-effective. (Faculty B-3, full-time 10/8/96, 4)

The seeming inability to assess accurately the cost of modem-delivered instruction, together with faculty's sense that Dean B chiefly monitored enrollment rather than instructional quality, reduced the faculty's confidence in their dean's competence, which further reduced the faculty's trust in their dean. Additionally, the dean's failure to assume a role in facilitating good communication between himself and the faculty or even in facilitating productive group processes among the faculty further weakened faculty relationships with the dean and sometimes with each other. The resulting low-trust environment restricted--and sometimes completely precluded--the thoughtful discussion of instructional matters necessary to monitor instructional innovations and instructional effectiveness generally.

Dean B defines his role chiefly in relation to the college's structure, policy, and faculty contract. To an extent, that is a requisite part of a dean's management role at a unionized community college. Yet organizational structure, policy, and the union contract mainly set minimum job performance requirements. Dean B's very narrow view of his role hampers his ability to effectively manage faculty and lead instructional innovation beyond compliance with minimum expectations.

Dean B sees the situation differently. He views the poor communication and poor relationships between himself and the faculty as the result of having some faculty members who are nearing retirement in Department B. He says that these few faculty members just want to keep doing things the way they always have done them and sees them as major obstacles to his leadership of innovation. He believes it is more efficient for him, as a change agent, to identify and work with those faculty who likely would be receptive to innovations. Unfortunately, that approach is perceived as favoritism by many faculty members.

In his overall dealings with faculty, Dean B is most noted for policing strict, legal compliance with the faculty contract. This follows from the dean's perception that some faculty will never change, and that they want to expend as little effort as possible in their teaching. In enforcing compliance with the faculty contract, the dean sees himself as preventing lazy faculty from taking advantage of and doing less than the contract minimum, which then becomes the standard. Faculty resent the dean's contract policing as 'micro-managing' and they spend much of their work time telling and retelling instances in which

Dean B followed the legalistic details of the contract to the detriment of faculty, and sometimes of students. Faculty particularly resent those instances in which more flexibility on the dean's part would have harmed neither the college nor the students.

Yet faculty understand that some policing is inherent and necessary in the dean's job. They, too, want someone to make sure that all faculty are doing their share. The faculty's negative response to Dean B was largely because her contract policing role was perceived to supersede all others, especially to the exclusion of building positive relationships with faculty, communicating a vision for the department, facilitating effective group processes, negotiating departmental conflicts, and coaching instructional improvement. The very narrow and limited view of his role as dean mitigated against his effectiveness as a manager generally and as a leader in instructional innovation particularly.

CHAPTER VI

THE DEAN AS LEADER

Planning and Initiating Instructional Innovation in Department C

In contrast to Deans A and B, Dean C-c, was a strong visionary leader who knew clearly the direction in which she intended to move Department C. Unlike Dean A, she did not encourage and facilitate broad faculty involvement in the project. At times, communication problems and conflicts hampered her progress. Unlike Dean B, she undertook careful detailed planning of the innovation and followed through with thorough monitoring and evaluation.

Despite three deans during the six-year innovation cycle, Department C's instructional innovation project had consistent management and leadership. This was so because the first two deans largely delegated the project to the faculty member who initiated it; eventually she became the third Department C dean. Consequently, implementation difficulties should not be attributed to changing management and/or leadership technique. Table 1 shows the tenure of each of the deans.

TABLE 1. Tenure of the three deans of Department C.

YEAR	Initiator Faculty	Department Chair	Division Dean	
1988-1991	Initiator/ Faculty C-c	Dept. Chair C-b	Dean C-a (Instructional Dean from 9/91)	
1991-1994	0	Initiator/Dept. Chair C-c	Dean C-b	
1994-1996	0	Dept. Chair C-d	Initiator/ Dean C-c	Research Time Period

To keep references clear, and to distinguish those who served as department chairs and deans from faculty members, the three people who served as dean during the time period of this research are designated C-a, C-b, and C-c. The faculty member who served as a department chair toward the end of this research period, but never as dean, is designated C-d. These designations consistently refer to the same four individuals and are attached to each of their changing positions within the department. The faculty member who initiated the Student Success Program has the word "initiator" attached to each of her positions, Initiator/Faculty C-c, Initiator/Department Chair C-c, and Initiator/Dean C-c. Individual faculty members are designated "Faculty C-1," "Faculty C-2" and so on.

In Department C, one faculty member wanted to increase the ethnic and racial diversity of students in the program. Her idea was well-timed, for the college's board of directors recently had issued a statement in support of increasing awareness of ethnic diversity issues and had allocated money to hire a full-time, affirmative action officer. The college's upper administration had just mandated college-wide, staff training in valuing diversity. The board of directors also had set aside money for in-house "excellence grants," to fund projects designed to improve instruction and student services and to support ethnic diversity. Initiator/ Faculty C-c saw an opportunity to challenge the status quo and proceeded to initiate a major, department-wide, instructional innovation by selling the idea to Department Chair C-b and Dean C-a. With their help, she then acquired an in-house grant and considerable support from higher-level administrators both within and outside Department C.

Once the grant money was obtained, Dean C-a set up a team to plan the details of what came to be known as the Student Success Program. The planning committee was "cross-functional" in that its members came from different departments or "functions" that might have a role in supporting ethnic diversity in Department C. The team included Initiator/Faculty C-c, Department Chair C-b (who was also a faculty member) , a faculty member from the Developmental Education Department who would become the Student Success Program Advisor for ethnic students in Department C, the Dean of Students, and a counselor. This group met regularly to plan a pilot ethnic Student

Success Program with the excellence grant money. The group also collected data to pursuade the college to continue funding the Department C Student Success Program subsequent to the pilot project.

Dean C-a described two roles that she played in initiating and planning the Student Success Program. Dean C-a stated that first she had worked really hard during the planning year of the Student Success Program to convince upper management to provide a regular, annual budget that would permit the Student Success Program to continue. Second, she believed that she had encouraged "interested faculty" to work together to plan the details of the Student Success Program.

However, Dean C-a appeared to have reservations about the willingness of most faculty, not only in Department C, to engage in instructional innovation:

> My greatest challenge is working with entrenched faculty that don't want to change...and I have given up on them, and I don't spend my time. I offer things that they can attend if they want, but instead I have decided to focus [on those] that want to change, that are excited and want to do things differently, and want to understand why it is important to students' success. And I think that [once there is] that critical mass, the others will eventually join. It takes that initial groundswell to get started, and I have some long-term faculty... eight years maybe. (Dean C-a 7/26/94, 4-5)

Dean C-a provided considerable opportunities for faculty to attend state and regional professional conferences, and the faculty actively shared journal articles, keeping current on trends in the profession. The faculty knew that the professional associations were encouraging schools to train more ethnic and racial minorities in their discipline. At the time that the Student Success Program was initiated, however, the Department C faculty, as a group, had made no effort to enhance the ethnic or racial diversity of the students in their highly successful program. Nor had Dean C-a made any effort to encourage changes in the program.

Although Dean C-a claimed to have encouraged faculty involvement, the only Department C faculty who participated in the actual planning of the Student Success Program were Initiator/Faculty C-c and Department Chair C-b. Thus, the goals, design, and implementation of the Student Success Program innovation largely were predetermined before other Department C faculty knew much about the project. The faculty who ultimately would be responsible for the success or failure of the Student Success Program were not involved either in the decision to pursue the project or in the planning of it. The department's attitude, as described by the developmental education instructor brought in to be the Student Success Program Advisor, was:

> It was a successful program, and if it ain't broke, why fix it? ... The fact that they hadn't graduated any large number of students of color was not a problem of theirs. They didn't look at the world that way. It was not in any way a problem. (Student Success Program Advisor 12/11/95, 1)

Accordingly, the introduction of the Student Success Program, happening as it did with almost no faculty participation its planning, was not greeted warmly by the majority of the Department C faculty.

Nonetheless, the planning was both careful and extensive. One member of the planning committee described it thus:

> It was probably the best planned and designed program that I've ever had the opportunity to work in. We spent a full six to eight months prior to [my] even being assigned to the project, doing the design work. [We] would meet, I think, every two weeks for a couple of hours. (Student Success Program Advisor 12/11/95, 4)

Another planning committee member described the two-pronged initial phase of the plan: "Year One was focused on pre-Department C students. Year Two focused on doing internal things within the program," such as adding new student support components to the [Department C] program (Initiator/ Department Chair C-c 2/1/94, 8). After reading research on barriers to ethnic student success, the planning committee concluded that the Student Success Program most needed to provide ethnic students with clear, consistent advising; require a solid academic work in pre-Department C prerequisite courses, and assist students in figuring out how to access and deal with the college as a system (Department Chair C-b 3/18/94, 11-12). That conclusion allowed the planning committee to introduce the Student Success Program at the periphery of Department C before fully integrating it into the discipline C program. While the Student Success Program began working with pre-Department C students, the Department C faculty would be prepared for the arrival of the cohort of new ethnic minority Department C students through mandatory staff development training.

One way to interpret this program introduction design is to see it as a way to 'work around' faculty who were not trusted to help plan the Department C Student Success Program. None of the planners would admit that was the case, but both Initiator/Faculty C-c and the Student Success Program Advisor described the faculty as being highly resistant to change and very fearful of taking more ethnic students into the Department C program. The planners explained the design for the introduction or the Student Success Program in terms of the need to prepare ethnic students for a successful entry into the Department C program, which necessarily would mean focusing on pre-Department C students, at the periphery of the department. Initiator/Faculty C-c, who developed the Student Success Program concept, stated it differently:

> The first year was spent ...dealing with pre-Department C students. Very little was spent on [ethnic] students who were enrolled at the time because we only had just two people [myself and the Student Success Program Advisor] basically working on the issue....There were a couple of other components that we looked at [then], too. [The main one] was faculty or staff development. ...within [Department C]. We felt that [it] was very crucial if we were going to increase the population of students in the [Department C] program who were very different from the traditional student that [faculty] were used to dealing with. We needed to do some background work with them. This is a key point because most of our faculty had very negative experience with students of color succeeding, so in order to reverse this thinking, a lot of work had to be done. (Initiator/Department Chair C-c 2/1/94, 3-4)

The first component of the staff development was an enhanced version of the college's diversity training program. Instead of the college's standard one-day, on campus 'diversity awareness' training, the Department C faculty attended a day-and-a-half at an off-campus retreat. At this point, Dean C-a's challenge was to gain faculty support for the Student Success Program after the fact. A mandatory staff development program turned out not to be the most effective way. The Student Success Program Advisor recalled some images from that workshop:

> I remember ...people knitting and actually turning their back on [the presenter] ...as he was presenting...a whole lot of body language... a lot of nonverbals [among the Department C faculty] that still show you who's attentive, who's not, who's with you, who's against you. (Student Success Program Advisor 12/11/95, 4)

In the second year of the Student Success Program, the planning committee looked at the Department C curriculum. As the first cohort of thirteen ethnic minority Department C students began their first-year Department C program, Initiator/Faculty C-c and the Student Success Program Advisor developed what they called "parallel support." Parallel support had several components. One was organized study sessions, offered two-to-four hours per week and led by Initiator/Faculty C-c and the Student Success Program Advisor (Initiator/Department Chair C-c 2/1/94, 9). Parallel support also excluded the involvement of the Department C faculty as a whole and met with what should have been predictable suspicion and resistance. The Student Success Program Advisor noted the distrust of the faculty, but interpreted it as Department C's professional norm:

> ...maybe that [lack of trust in each other] is built into the way [they] are supposed to double check everything [in]

> the[ir practice]...they don't seem ever to trust each other, and then if you play that out with the Student Success Program, ...we were trying to run, they didn't trust us [the two who ran the parallel support] that we were going to be above board, that we weren't going to get students who weren't qualified, that we weren't in test [review] sessions

> going to be giving out answers, et cetera, et cetera, ad nauseam. (Student Success Program Advisor 12/11/95, 2)

Later during that same year, as the Department C faculty finally began to have some personal involvement in planning additional components of the program, their trust in the Student Success Program slowly improved. Initiator/Faculty C-c and the Student Success Program Advisor began attending the weekly team meetings of the first-year Department C faculty; this improved communication about the Student Success Program project and the Department C faculty's role in it. Together the first-year team initiated several projects that, taken together, provided substantial additional academic support for ethnic Department C students. Possibly because these projects were clearly defined and limited in scope, as well as limited in their impact on the way faculty taught, faculty felt more accepting of them than of the Student Success Program overall.

One project that the first-year faculty term were involved in was deciding to lengthen the time allowed for tests for the first-term students and then gradually to decrease the amount of time allowed to match the time limits students would face on the state Department C licensing examination.

Another project was to have work-study students be official note-takers in each of the Department C classes. This was intended to help second language students who might find it difficult simultaneously to listen attentively to class lectures, try to figure out the meaning of words they did not know, and take organized notes. However, the class notes were then made available to any student who wanted them. In addition to assisting second language students, the shared lecture notes became a model of effective note-taking available for all students.

Other faculty members noted that as the Student Success Program became integrated into Department C, they attended a variety of staff development workshops on different learning styles and gradually began to re-examine their teaching practices. Topics for staff development workshops were planned by Initiator/Faculty C-c together with Department Chair C-b. Additionally, a few other interested Department C faculty members were identified and asked if they would like to participate:

> I had been asked to do a presentation at one of our retreats in the fall, but I know that I was asked by or identified by our [Department] Chair [C-b] person in conjunction with the curriculum and instruction committee chair person [about] what would be the focus for this retreat, and it was student success. ...That was generated from the top [management], I think, because in this department there has been such a high attrition rate of minorities, it has been a concern at the top for a long, long time. (Faculty C-1 6/8/94, 9)

Department C faculty became increasingly aware of the importance of helping students acquire effective study skills, something they previously had not considered part of their job.

Initiator/Faculty C-c started another project affecting faculty but this time sought broad faculty participation. The project was an analysis of the language used in written discipline C examinations. A faculty member from the English as a Second Language Department was asked to review all of the discipline C examinations and to indicate which vocabulary and structures might be especially difficult for limited English speakers. The English as a second language instructor presented her findings at a Department C faculty staff development retreat. "It was really a good education for us to recognize the kinds of words that could cause problems" reported one Department C faculty member (Faculty C-1 6/15/96, 6). The Department C faculty institutionalized their new awareness of the importance of vocabulary choices by creating a faculty team to check all newly developed tests in Department C for potentially culturally confusing words (Faculty C-1 6/15/94, 6). This project was well-received by the Department C faculty and the work of revising examinations heightened their awareness of cultural factors that could hinder student success in Department C.

Many faculty spoke about how they had become gradually more comfortable with the Student Success Program and about various instructional changes that had come about because of the Student Success Program. The changes faculty referred to most often were the ones that they had helped to plan and implement:

> I think a number of things have changed, and I will have to tell you that it started out a little bit rocky because we were not quite sure what was expected of us. But one of the major things that I know now is that we pay more attention to our test questions, to the vocabulary used. (Faculty C-2 6/14/94, 6)

Monitoring and Evaluating Instructional Innovation in Department C

Department C experienced several changes in administration during the six-year course of the Student Success Program innovation. The first change in administration occurred just as the initial implementation phase of the Student Success Program was complete. The program had run for a full year with a cohort of ethnic Department C students; the second cohort of ethnic Department C students were just entering the first-year class. The former dean, C-a, became the instructional dean for the campus; the Department C Chair, C-b, became the new dean, C-b; and Initiator/Faculty C-c became Initiator/Department Chair C-c. The next step was to assess how the innovation was going and to make any necessary adjustments.

Monitoring the Student Success Program's effect upon students was easy because the necessary data already were being collected systematically when the Department C Student Success Program began. Because a student's successful completion of the Department C program ultimately is determined by passing an outside, state licensing examination, Department C has never been able to operate as a self-contained, insular program. Therefore, in addition to being accredited as part of the college, the Department C program has to keep current regarding licensing standards and maintain professional accreditation. That accreditation requires extensive student records to be kept, far beyond college accreditation requirements. As a result of this external requirement, the Department C program has a long history of keeping excellent student records, which include careful monitoring of student attrition/retention, and pass rates on the state licensing examination (Initiator/Department Chair C-c 2/1/94, 7).

Because Dean C-b previously had worked closely with Initiator/Faculty C-c to plan and implement the Student Success Program, she felt comfortable delegating the responsibility to monitor the Student Success Program to the new Initiator/Department Chair C-c. In one respect, this was a wise move on the part of Dean C-b, although there is no evidence that she planned it politically. Rather, it is more likely to have been an instance of her general approach of empowering others by delegating responsibility down to the lowest possible organizational level. As Department Chair C-b, she had enjoyed a very positive relationship with the Department C faculty. Now, as Dean C-b, by delegating the monitoring of the Student Success Program to Initiator/Department Chair C-c, she avoided monitoring a program that many faculty felt had been forced upon them. When faculty had complaints or placed blame, these typically were directed toward the new instructional dean, that is, the former Dean C-a, who had approved the Student Success Program, and the new Initiator/Department Chair C-c, who had suggested the concept in the first place. Dean C-b, although a key participant in planning the Student

Success Program, had not played the key role in its inception that the new instructional dean (formerly Dean C-a) and the new Initiator/Department Chair C-c had assumed.

Whatever the intent of Dean C-b, it is unfortunate that she did not actively facilitate communication among the faculty, Initiator/Department Chair C-c, and herself. Gradually communication dwindled. Two years later, the lack of communication caused serious conflicts between the faculty and Initiator/Dean C-c.

In the meantime, Initiator/Department Chair C-c identified strongly with the leadership role of change agent. She also took seriously the TQM managerial task of collecting data to monitor an innovation's progress. She meant to ensure that faculty resistance or other problems did not derail the change effort (Initiator/Department Chair C-c 2/1/94, 16). One way she monitored the innovation effort was to was to conduct exit interviews with every student who dropped out of the Department C program. These interviews provided a wealth of information on factors that helped and hindered student retention--and thus information about the effectiveness of the Student Success Program. Many student problems were outside the control of Department C, such as, family illness, lack of adequate child care, or financial problems. Other reasons had to do with inadequate pre-discipline C course preparation: some students were trying to learn English as a second language, or catch up on difficult pre-requisite courses while concurrently enrolled in the first-year

Department C program. For most students, that kind of course load was excessive.

Student feedback helped Initiator/Department Chair C-c to work with the Student Success Program Advisor to refine the advising component of the program. More importantly, however, the exit interviews provided a direct way to monitor student's perceptions of individual faculty members. Two years later, when Initiator/Department Chair C-c became Initiator/Dean C-c, she appointed, from the Department C faculty, her successor as Department Chair C-d. Initiator/Dean C-c, now used feedback from exiting students, gathered by Department Chair C-d, not only to monitor the Student Success Program but also to monitor faculty commitment to the Student Success Program philosophy.

In addition to monitoring Student Success Program outcomes for students, Initiator/Dean C-c also carefully monitored faculty compliance with the kind of student-supporting behavior valued by the Student Success Program. Initiator/Dean C-c worked directly with faculty who were reported by the Student Success Program Advisor to have frequent student complaints. the Student Success Program Advisor noted that the dean was "not afraid to confront people with their behavior and say, 'This isn't acceptable in this environment, and we are going to work on it'" (Student Success Program Advisor 12/11/95, 8). Initiator/Dean C-c worked individually with identified faculty members to incorporate training into their professional development plans, that would further their ability to support the Student Success Program's goals.

Interestingly, faculty did not complain of being spied on or reported via the student exit interviews conducted by Department Chair C-d. This may have been because the faculty were used to the exit interview process which predated the Student Success Program. What did arouse faculty suspicion, and some hostility, was the Student Success Program Advisor position, and particularly the person who first held it. Student Success Program students had the opportunity, at any time, to discuss problems with the Student Success Program Advisor. They reported the same kinds of problems as students who were exiting the program, including occasional difficulties with Department C faculty members. Although the same kinds of information were being reported to the Student Success Program Advisor as would be reported to the department chair during an exit interview, faculty were very suspicious of the Student Success Program Advisor. The Student Success Program Advisor originally came from the developmental education department, and was therefore regarded as an outsider. Also, the Student Success Program Advisor had worked closely with the Initiator/Faculty, now Initiator/Dean C-c, to plan and implement the Student Success Program, while Department C faculty had been excluded from that process. Finally, to many of the faculty, the new structural component of the Student Success Program Advisor was not merely a change, but an affront to their professionalism.

For many years, each Department C faculty member had advised a small cohort of 10-12 students. The faculty members met weekly with these students as a group, and individual students also could make separate appointments with their Department C faculty advisor. At best, the student success advisor seemed redundant--at worst, a spy for Initiator/Dean C-c. Some faculty studiously avoided referring any of their students to the student success advisor; a few faculty continued this resistance even six years after the Student Success Program began (Student Success Program Advisor 12/11/95, 6).

For the most part, despite their initially strong resistance, the Department C faculty gradually were won over to the Student Success Program. Many of its components, such as student note-takers, test review sessions, and vocabulary analysis of tests became well-accepted by the faculty. Yet, six years into the Student Success Program, the Student Success Program Advisor remained a point of contention:

> ...I would say to this day there's still a non-acceptance of me in the department, and I've worked with [other departments where]...there was still a respect and an acceptance of me as a person with their program. And I don't feel that with [Department C]. (Student Success Program Advisor 12/11/95, 5)

It is probable that Dean C-a's decision to plan and initiate the Student Success Program without broad faculty involvement, plus Initiator/ Dean C-c's close ties to the Student Success Program Advisor, continued to mitigate against full faculty support for the Student Success Program.

Both Dean C-b and Initiator/Dean C-c, respectively, used the feedback they gained from monitoring students satisfaction and academic success in the Department C to make adjustments to that program. For example, when it was discovered that non-ethnic minority students resented what they considered special, extra services for second language and ethnic minority students, those student success services became available to any Department C student upon the recommendation of a faculty member. The purpose of the faculty recommendation requirement was to reserve support services for students who needed them. The Department C faculty felt much more comfortable with the Student Success Program once it was expanded to foster success for all students.

> I think a number of things have changed...we do far more coaching than we ever did, in that we have review sessions that first started out for the ethnic students, and we have kind of changed a little bit where now on Saturday we have sessions that are open to any students who feel they need to be there. So for their final review, we had 27 students, both ethnic and majority students. (Faculty C-2 6/14/94, 6)

It is also significant that Department C faculty now had a role in recommending students for Student Success Program support services.

The mandatory staff development carried out during the planning and implementation stages of the Student Success Program were described by Initiator/ Department Chair C-c as “an on-going battle” (2/1/94, 4). Yet, monitoring of faculty acceptance of the Student Success Program suggested that, over time, the staff development training provided in cultural diversity, conflict resolution, learning styles, and in test construction for non-native speakers gradually altered faculty perceptions of their teaching role. Faculty began to describe the various parallel support components of the Student Success Program as 'theirs.' When asked to what extent she felt that Department C faculty supported the Student Success Program, then in its sixth year, the Student Success Program Advisor replied:

> The test review sessions on Saturday are a [faculty] buy in. ... these were very hard-won kinds of victories, to even have a test review session or even have parallel support. Back in the beginning. ...any change to the way of doing business [in Department C]...had to be fought for, had to be documented, had to have a good rationale for it. ...now those things are just taken for granted and owned by the whole faculty, I would say. (Student Success Program Advisor 12/11/96, 5-6)

The Student Success Program Advisor believed that the faculty had needed the initial mandatory training they had received. However, faculty responses to it were extremely negative. Wisely, the Student Success Program Advisor used that feedback to take a more subtle approach that she thought would be more effective in the long run. Gradually, the general staff development effort became less overt. For example, the Student Success Program Advisor said that upon discovering that the Department C faculty responded well to journal articles as a staff development option, she would find appropriate articles and strategically place them in selected faculty members' mailboxes.

At the same time, Initiator/Dean C-c played an unusually active role for a dean in overseeing the orientation of new Department C faculty members. After observing how the strong resistance of a few vocal faculty members powerfully affected the department's morale and overall acceptance of the Student Success Program, Initiator/Dean C-c directed the Student Success Program Advisor to take responsibiliy for the orientation of all new Department C faculty members as soon as they were hired.

This effort to coopt and 'vaccinate' new hires against those who were resisting the Student Success Program proved highly effective. Newer faculty members, who were interviewed for this research, uniformly spoke positively about the program:

> Well, I think all of us have [a] personal interest in trying to make the process easier for the student. It goes from the point of being willing to... spend extra time counseling students.... (Faculty C-3 6/8/94, 11)
>
> We really go the extra mile here to give students time that they need to learn. If they need a longer time than usual or if they need different learning activities [or materials] to learn ...we provide those. (Faculty C-4 6/8/94, 2)

This viewpoint contrasts sharply from opinions of those long-term faculty who opposed the Student Success Program concept. The Student Success Program Advisor explained:

> I think they have bought into the visible components. What they haven't bought into [is] the amount of special advising, and hand-holding, morale building, [and] coaching that I do in my office. That they have no idea about. (Student Success Program Advisor

12/11/95, 6)

The chief criticism among some of the faculty was that too much hand-holding, coaching, and coddling was being done for ethnic students in the Student Success Program. In contrast, Initiator/Dean C-c made sure that new faculty were trained from their arrival to view the extra student support as a strength of the Department C program.

Even years into the innovation effort, many faculty continued to harbor some fears about certain aspects of the Student Success Program. In addition to the concern that students were being excessively coddled, they expressed personal concerns as well. One faculty member talked about how heavy the workload was:

> The teachers are very involved with their students. I am having a really hard time because I have all these students. ... We do extra things. ... Most of us have to do stuff at home, and with [young children], I have had it really hard this year. (Faculty C-5 6/8/94, 11-13)

Others worried that they would be held accountable, personally, if any ethnic students in their advising group dropped out of the Department C program:

> I think there are some issues still out there. ... there is still that lingering fear that the fact that it is called [the] Student Success Program sort of implies that the student has to succeed. If the student doesn't succeed, [it is assumed that the faculty] have done something wrong.
>
> We have dealt with it to a certain degree on the intellectual level, but the fact remains that we have

> had a lot of failures again this term, and a number of them were ethnic minority students. There were certainly a lot of questions... from the [Initiator/] Department Chair [C-c], 'what did you do to support the students?' And what provisions did you make? [Was there] anything you could have done differently?' I know part of that is what she has to do, but there is still a sort of sense from [her and Dean C-b that we] ...did something wrong. (Faculty C-1 6/15/94, 5)

Department C faculty support for the Student Success Program gradually increased as they personally became involved in it. However, that gain was partially offset by their gradually decreasing trust in their dean. The Dean C-b delegated major responsibility for monitoring the Student Success Program and the faculty to Initiator/Department Chair C-c, intending to empower her. That decision also weakened communication and trust between the Department C faculty and their dean. Dean C-b gradually became less aware of the particular issues fueling faculty fear of and resistance to the Student Success Program. That Initiator/Department Chair C-c, who was now the key monitor of the Student Success Program, was also the one who had implemented the Student Success Program, made the faculty more distrustful of her than if she had been a disinterestedl person.

Initiator Department Chair C-c continued to monitor the Student Success Program closely after she became Initiator/Dean C-c. The Department C faculty's fear and distrust increased in proportion to Initiator/Dean C-c's new positional power over the faculty. Although no faculty member stated it precisely, the fear of reprisals for having a student fail were likely to be enhanced by the perceived, although unstated, perception of a conflict of interest on the part of Initiator/ Department Chair C-c. Once again, the limited involvement of the faculty in planning and initiating the Student Success Program hampered the project even five and six years later.

In the sixth year of the Student Success Program, the second year of Initiator/ Dean C-c's tenure, faculty resentment of the Student Success Program and perception of conflict with the dean increased. For example, a conflict between Initiator/Dean C-c and the faculty arose over the handling of ethnic students who had arrived at their practicum unprepared. According to Department Chair C-d, who was hand-picked by Initiator/Dean C-c, Initiator/Dean C-c favored giving the students an opportunity to make up their practicum session. Faculty, after a long, heated debate in their team meeting, decided to emphasize the professional ethic of responsibility by neither giving the students credit for the missed practicum nor permitting them to make it up. (Department Chair C-d 4/4/96, 1-2). Faculty believed that Initiator/Dean C-c had failed even to recognize the legitimacy of Department C faculty's decision. Instead, to faculty, the dean apparently viewed this conflict as an another instance of faculty resistance to the Student Success Program. Faculty concluded that because Initiator/Dean C-c had originated the Student Success Program, she allowed her roles of change agent and monitor to overshadow other equally important roles.

CHAPTER VII

CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

This chapter draws conclusions about the three deans' management and leadership of instructional innovation and then proposes the beginnings of a model of effective management and leadership skills for community college first-line deans. Next, limitations of this research study are discussed, and the research is considered in relationship to previous research. Also, practical implications for the research are considered for selecting, training, and evaluating community college first-line deans as well as for community college administration in general. The chapter concludes with recommendations for further research.

Dean A: Balancing Management and Leadership

Dean A was the most effective of the three deans at managing and leading instructional innovation. He was honest with the fa A was the most culty and competent as a dean, which earned him the trust of the faculty and en Dean abled him to lead Department A's instructional innovation. He provided structured opportunities for faculty from different but related disciplines to share ideas about curricula and teaching. That created an environment with a high probability of inspiring new ideas among the faculty. In this way, Dean A created the opportunity for faculty to challenge the status quo and inspired the faculty to consider new approaches to curricula and instruction without forcing the direction of the innovation. That the Department A faculty developed the idea for the innovation, rather than having it forced upon them from outside, gave them ownership of and commitment to the project.

Dean A's demonstrated willingness to experiment and take risks and his willingness to offer assistance when needed encouraged the faculty to try new approaches without being overly fearful of the possibility of failure. At the same time, Dean A's regular monitoring and coaching of classroom instruction communicated the importance of instructional quality and encouraged the faculty to set high standards for their reform project.

As a manager, Dean A acquired the resources necessary for instructional innovation. He did this by advocating, on behalf of the faculty, with upper administration. He gained financial and technical assistance to write the grant proposal and later obtained waivers on some routine faculty workload requirements as well as space and equipment for a new Department A lab. These resources and waivers were not automatically granted; Dean A's persistence in advocating for the faculty's needs showed that he had the courage to stand up for his convictions. His persistence and courage earned him respect for his integrity among Department A faculty.

Dean A carefully managed the structure for planning and initiating the Department A reform project. Once the grant was funded, he selected a competent and well-respected faculty member to coordinate the entire project. This accomplished several important things. One, having the project lead by a faculty member rather than the dean further encouraged faculty ownership of and commitment to the project. Two, it gave the faculty coordinator an opportunity to increase her own management and leadership skills. Dean A did not, however, leave the faculty project coordinator without direction, but met with her weekly to monitor the progress of the project, offer help when needed, and provide coaching for some basic project management skills, such as how to keep the project on schedule.

Dean A worked with the faculty project coordinator to set up the Department A reform project steering committee and the various sub-committees. Dean A participated on the steering committee and worked with the faculty to establish objectives and plan the reform innovation project. The objectives covered curriculum and instruction as well as a summative evaluation of the entire innovation.

Dean A also enhanced involvement and communication. The sub-committees allowed for broad involvement by full-time and some part-time instructors, enhancing commitment to the innovation effort. Because Dean A attended so many of the committee and sub-committee meetings and met weekly with the project coordinator, he was well-informed about the progress and direction of the innovation effort. He maintained contact with full-time and part-time faculty to keep everyone well-informed about the project. Faculty also reported that Dean A listened to their concerns and helped to resolve conflicts.

Dean A monitored performance against goals, analyzed the findings, and used that information to coach faculty toward future improvements. When attending the various committee meetings, Dean A monitored group performance, encouraged participation and collaboration, and modeled effective group interaction skills. Similarly, when observing classroom instruction, Dean A evaluated the quality of instruction and provided feedback and suggestions for improvement to faculty.

In these many ways, Dean A demonstrated trustworthiness and integrity, plus excellent management and leadership skills. It was particularly notable that Dean A appropriately balanced the needs for management of the department and its faculty with leadership of change and innovation, rather than focusing on one to the neglect of the other. The faculty recognize their dean's skill and are extremely enthusiastic about his leadership. They are willing--even eager--to expend the extra work and effort required to pursue continuous improvement through curricular and instructional innovation. The college and its students benefit substantially from Dean A's highly effective management and leadership of Department A faculty in general and of instructional innovation in particular.

Dean B: Emphasizing Management

Of the three deans studied in this research, Dean B was the least effective in managing and leading instructional innovation. Yet Dean B was effective at some aspects of leading innovation. For example, Dean B paid close attention to the needs of business and industry through his regular involvement with Department B's community advisory group; he also was well-attuned to the future direction of the college, as set by the president. Additionally, he communicated clearly to the faculty about business and industry's educational requirements for future workers in the community. On the other hand, he did not inspire faculty to envision how their department might redesign its curriculum or change its instruction to take advantage of the new opportunities indicated. Instead, he decided unilaterally on the desired direction for instructional innovation--distance learning--and worked individually with the few faculty he thought would be interested in the instructional innovation he desired. That approach had several negative consequences. First, it limited broad faculty participation in general as well as in instructional innovation projects. Second, it fostered the impression among faculty that Dean B did not value their participation in planning and setting objectives for the department. Finally, it led many faculty to believe that Dean B played favorites, for which they distrusted his honesty and integrity. Under the circumstances, faculty were unmotivated to follow what leadership he offered.

Even the faculty who were offered the opportunity to teach a distance learning course complained about Dean B's lack of support for their effort. Many faculty complained about Dean B's inability to secure funding to support the substantial new course development involved in offering instruction through distance learning media. They believed that if their efforts were valued, their time should be compensated. Faculty who attempted to teach a distance learning course were discouraged to find that the project's organization was left entirely up to them; no planning took place; no goals were established whatsoever. Further, the lack of training and coaching in the new instructional delivery systems set them up for failure and left them feeling discouraged and unsure of their effectiveness. This, of course, demotivated future attempts at innovation, as faculty retreated to the safety and comfort of the traditional lecture method.

Communication was extremely poor under Dean B. The dean's preference for one-on-one communication led to perceptions of favoritism toward those he communicated with well and often. Other faculty members found that Dean B was a poor listener and used one-on-one meetings primarily to coerce them to agree to decisions or projects they feared or opposed. Several avoided communicating with him as much as possible, which only further limited communication within the department. Departmental meetings did not help communication as they were both rare and ineffectual.

Finally, Dean B failed to measure the quality of the distance learning courses that were attempted. Faculty recognized that the student enrollments and attrition that Dean B measured were not appropriate proxies for course quality and effectiveness. Yet the failure to plan and set goals for instructional innovations made it difficult for Dean B to evaluate the courses properly, which may have led to an unwitting reliance on enrollment and attrition data. Unfortunately, Dean B's attention to enrollment and attrition figures communicated to faculty that his only interest was in the amount of money Department B courses generated through enrollment. Dean B's scant attention to the faculty's professional development reports furthered the impression that he cared little about instructional quality. Although the faculty understand that the college must attend to financial matters, they expect their dean also to be concerned with quality.

The lack of planning and evaluation of instructional innovations made it difficult to assess their value, which reduced Dean B's commitment to continuing to support a new instructional delivery system when funding became tight or enrollments dropped. The inconstancy led the faculty to conclude that Dean B was no more interested in instructional innovation than he appeared to be in quality. He was perceived merely to jump on bandwagons led by the college president. Few faculty felt motivated to attempt instructional innovation, and the few who did often became discouraged and quit.

Dean B's resulting low trust in the faculty's willingness to pursue instructional innovation led him to settle for a more modest goal--enforcing compliance with the details of the faculty contract. Dean B's focus on faculty contract enforcement as his main managerial function is unfortunate both for the college and its students. The contract, as a legal document, sets minimum standards for faculty performance. Although Dean B succeeded in enforcing faculty compliance with the contract, he alienated faculty to the degree that many of them became unwilling to do any more than the contract required. That resulted in reduced faculty contact with students as well as reliance on old lecture notes and curricula rather than attempts to try out innovative instructional approaches. Although this research did not attempt to establish any link between the general lack of innovation in Department B and its declining enrollment, the possibility of a connection between the two might prove a worthwhile topic of inquiry at the college.

Dean C: Emphasizing Leadership

Dean C-c, first as Initiator/Faculty C-c, came up with the idea for the Student Success Program. She searched for an opportunity to implement it and took advantage of the college's new interest in enhancing diversity to secure internal funding through an excellence grant for projects that supported diversity and instructional innovation and improvement. Although she worked with Department Chair C-b and Dean C-a to plan the Student Success Program, she (and they) failed to encourage broad faculty participation. That failure was due to a lack of trust in Department C faculty's willingness to engage in innovation and to support an increase in ethnic minority students. The failure to address these issues up front had long-term negative repercussions. It led to the faculty's exclusion from planning and initiating the Student Success Program innovation, which lessened faculty understanding of and commitment to the project.

Dean C-c capably led the team that planned the Student Success Program. The planning team met for almost a year before beginning the project, and team members considered the project extremely well-planned. Under Dean C-c's leadership, the team established clear objectives for the program and determined what data to collect to measure its effectiveness. They planned to implement the Student Success Program in several distinct phases, each with a focus, such as pre-discipline C student preparation, Department C faculty diversity training, and parallel support course development.

Although Dean C-c made a serious error in not involving Department C faculty from the beginning, over the course of the innovation project she gradually improved her interpersonal skills related to management and leadership. First she improved communication with Department C faculty. For example, after the first cohort of ethnic students entered the first year Department C class, the provision of diversity training for all of the Department C faculty gradually increased their understanding of the project and its goals. Dean C-c also began to attend the first-year Department C faculty team meetings, which improved her direct communication with the first-year Department C faculty and kept them well-informed about the progress of the Student Success Program innovation.

As the Student Success Program project continued, Dean C-c gradually involved more of the Department C faculty in implementing some aspects of the program. That increased their involvement in and commitment to the Student Success Program. It also increased their skills and confidence in dealing with ethnic minority students and non-native speakers of English. As Dean C-c began to monitor the Student Success Program's effect upon students and get feedback from ethnic students about particular Department C faculty members, she used that data to inform individual faculty development plans, to communicate expectations to the faculty, and to coach some of them directly.

Although Dean C-c generally improved her interpersonal skills related to management and leadership, her personal ownership of the Student Success Program appeared to some faculty members to pose a conflict of interest with her role as dean. Although the faculty never doubted the Dean C-c's integrity or commitment to program quality in general or the Student Success Program innovation, the faculty also perceived that Dean C-c supported the Student

Success Program--her project--so strongly that she did not always truly listen to or empathize with their fears and concerns. Those limitations made Dean C-c's use of Student Success Program student feedback data to improve faculty performance a threatening experience for some of the faculty involved.

Overall, Dean C-c managed the Student Success Program innovation project very well. She collected appropriate data to measure the program's effectiveness in meeting its objectives and made corrections to various aspects of the Student Success Program as indicated by the data. For example, she used data comparing the academic preparation of successful to unsuccessful Department C students to specify precisely which pre-discipline C course prerequisites the Student Success Program Advisor should recommend to pre-discipline C students. Other data were used to design the parallel support aspects of the Student Success Program. Additionally, having reliable data enabled Dean C-c better to persuade faculty to change some aspects of their instruction, such as the length of time allowed for tests and the vocabulary used on exams.

Another way in which the initial exclusion hampered the Student Success Program project was that it made some of the faculty ambivalent about whether to trust Dean C-c. Everyone respected her competence and her willingness to experiment and take risks, but some felt nervous over the risk-taking expected of them. The perceived conflict of interest between Dean C-c's role as dean and in initiating the Student Success Program caused some faculty to fear that they might be treated unfairly if too many of their ethnic students failed.

When an incident arose in the sixth year of the Student Success Program concerning a few ethnic students who had arrived unprepared for their practicum, the unresolved conflicts between the Department C faculty and Dean C-c caused grave misunderstandings and increased the distrust between them. Faculty thought it a betrayal of their discipline's professional ethic even to consider excusing the students' lack of preparation. To them, it seemed that Dean C-c's personal commitment to "her" Student Success Program had compromised her professional integrity within the discipline. Dean C-c was unable to resolve the conflict to the faculty's satisfaction; instead she resorted to ordering the Department C faculty to permit the students to make up the practicum session.

The Dean C-c was a strong leader and very willing to take risks. She also possessed and deployed effective management skills in planning, setting objectives, measuring performance against goals, and using data to continuously improve the Student Success Program. Nonetheless, her strength at doing things on her own mitigated against her involving others, which lessened their involvement, commitment, and trust. It also lessened the dean's opportunity to develop the skills and confidence of her faculty in managing and leading instructional innovation and pursuing continuous improvement. Dean C-c has taken the initiative to pursue training in educational leadership, so it is probable that her management and leadership skills will continue to improve, benefitting her faculty, the Department C students, and the college.

Management and Leadership of Instructional Innovation at the College

The three deans in this study showed a wide range of management and leadership skills, both in their ability to manage and lead faculty, in general, and instructional innovation, in particular. It is noteworthy that the college does not provide any training program for its new deans at any level. That, of course, accounts somewhat for the variability of skills found in this study. Overall, most of the deans have some skills, but gaps are noteworthy.

Dean A was as effective as he was chiefly because, coupled with his personal trustworthiness and integrity, he was able to use appropriately a broad repertoire of management and leadership skills. Dean B failed to lead either the faculty or successful instructional innovation not only because the faculty believed that he lacked trustworthiness and integrity but also because he had only a narrow repertoire of management and leadership skills. He simply lacked the tools necessary to do the job. Further, he apparently had no idea that he lacked skills and so made no effort to improve. Dean C-c had very strong leadership skills plus some good management skills. She was, however, more task-oriented than people-oriented. Her weakness in interpersonal skills turned out to be critical because it lessened the faculty's trust in her fairness and integrity. Although the Student Success Program has increased the number of ethnic students who complete program C from one or two percent to fifty percent, the program was much more difficult to implement than it would have been with stronger faculty support from the beginning. The conflicts have cost Dean C-c and her faculty considerable emotional stress and lost time. In that respect, Dean C-c's shortcomings were expensive for her, her faculty, the college, and the Department C students. However, unlike Dean B, Dean C-c became aware of the need to improve her skills and took action to do so.

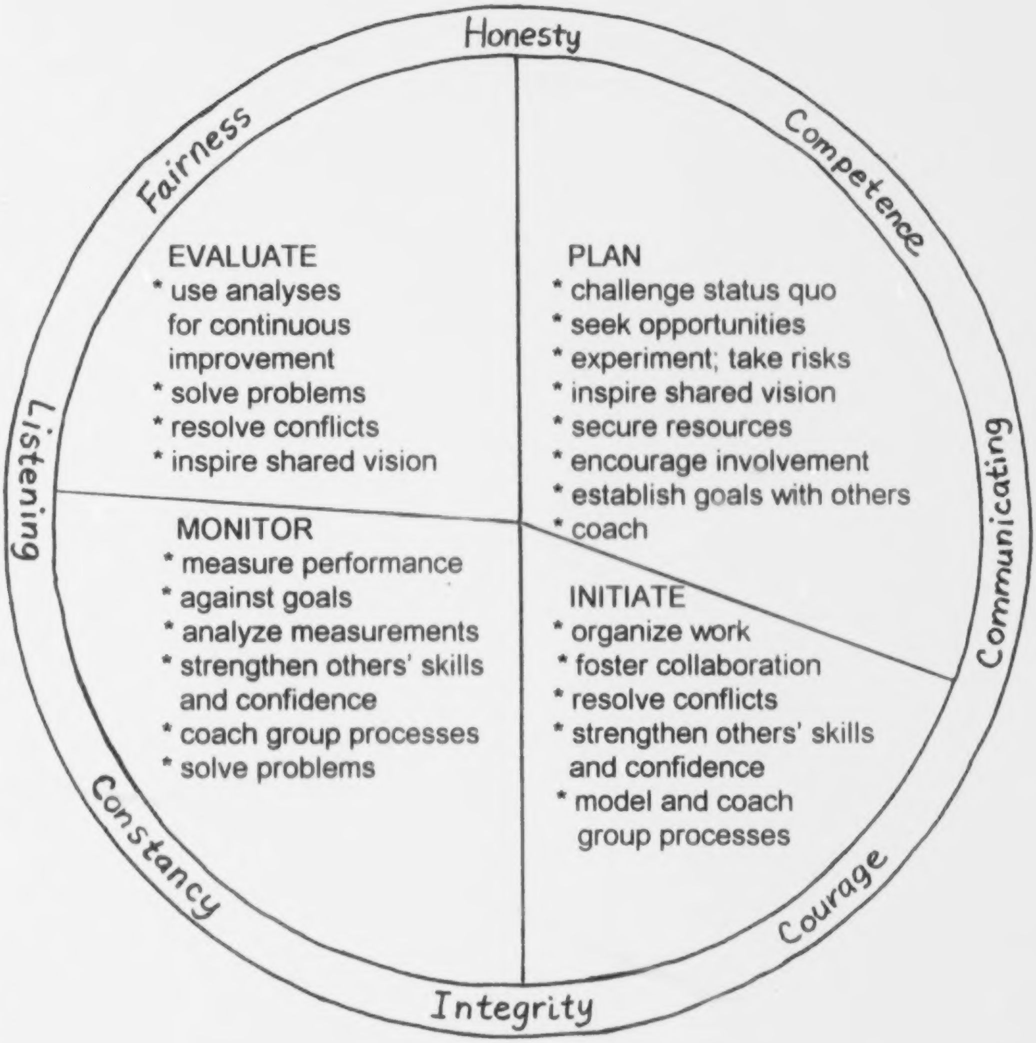
Beginnings of a Theoretical Model of Effective First-Line Community College Deans

Although this research study is limited in scope, its findings identified particular management and leadership practices that were effective and ineffective in leading instructional innovation projects at community colleges. First, in addition to effectively managing and leading, it is essential for deans to demonstrate their trustworthiness and integrity to the faculty. Faculty trust deans who are honest and fair with them and competent at managing and leading the department and its faculty. Faculty respect deans who demonstrate intellectual integrity, consistency of purpose, and the courage of their convictions. These very basic but essential character traits are necessary for all aspects of the first-line dean's job. When they are doubted by the faculty, the deans have considerable difficulty encouraging and motivating faculty to follow their lead in general, and particularly for the heavy work and high risk-taking of instructional innovation.

Management and leadership skills overlap considerably. Leadership skills, however, are especially necessary during the planning and initiation stages of innovation. Management skills are especially important during the monitoring and evaluation phases of the instructional innovation. Because the instructional innovation cycle of plan, initiate, monitor, and evaluate closely matches the Shewhart Cycle's plan, do, check, and act phases, it is not surprising that TQM management and leadership skills apply throughout the innovation cycle.

When considered holistically, the model for effective management and leadership strategies for community college first-line deans might be sketched diagrammatically as in figure 2:

FIGURE 2. Model of Initial Substantive Theory of Management and Leadership Effectiveness of Community College First-Line Deans


Honesty
Competence
Communicating
Courage
Integrity
Constancy
Listening
Fairness

EVALUATE
- use analyses for continuous improvement
- solve problems
- resolve conflicts
- inspire shared vision

PLAN
- challenge status quo
- seek opportunities
- experiment; take risks
- inspire shared vision
- secure resources
- encourage involvement
- establish goals with others
- coach

MONITOR
- measure performance
- against goals
- analyze measurements
- strengthen others' skills and confidence
- coach group processes
- solve problems

INITIATE
- organize work
- foster collaboration
- resolve conflicts
- strengthen others' skills and confidence
- model and coach group processes

Fairness, honesty, and competence, three hallmarks of trustworthiness, are arranged around the outer circle to indicate that they are necessary at all times, as well as for all phases, of an instructional innovation project cycle. Intellectual integrity, constancy of purpose, and courage of convictions, the three key traits of integrity also appear on the outer circle, as do communication and listening. All of these, as noted above, are critical to effectiveness in managing and leading.

The inner circle shows the modification of the Shewhart Cycle's plan, do, check, act steps for instructional innovation projects. Both management and leadership are needed throughout the innovation cycle. Leadership is most essential in the planning and initiating phases and management is most important in the monitoring and evaluating phases.

The planning phase includes the leadership skills of challenging the status quo, seeking opportunities to try out innovations, experimentation and risk-taking. It includes also the collaborative leadership skills of inspiring a shared vision, encouraging others' involvement, and establishing goals with others. Coaching and securing resources are management skills that apply to the plan phase.

The initiating phase includes the leadership skills of fostering collaboration and strengthening others' skills and confidence. Many management skills are needed to initiate an innovation: organizing the work, modeling and coaching effective group processes, and resolving conflicts.

Although the leadership function of strengthening others' skills and confidence continues to be important during the monitoring phase, management functions are especially important for monitoring. The management tasks include measuring the performance or quality of the innovation against established goals, analyzing the measurements, and solving problems that arise, as well as continuing to coach group processes as necessary.

The evaluating phase also requires strong management skills to make effective use of the measurements and analyses to fine-tune the innovation and make continuous improvements, as well as to solve problems and resolve conflicts. Because the understanding gained during the evaluation phase is used to start planning the next innovation cycle, the leadership skill of inspiring a shared vision is important. The on-going, continuous improvement process is therefore drawn as a circle.

Limitations of the Study

The main limitation of the research is that only three deans were studied. Although they were selected as exceptional cases and exhibited a broad range of management and leadership ability, it is nearly certain that a larger study, including more deans, would further increase the range of findings. The limitation is significant in that it prevents development at this point of a full-scale model of effective first-line community college deans. The limited study means that the proposed model must necessarily be recognized as but the tentative beginnings of such a model.

Contributions and Relationship to Previous Research

Little research has been done on community college first-line deans, and what research exists is mostly atheoretical and descriptive. This study is a small step toward correcting that imbalance. First, it makes the case that the first-line dean is a more important position within community colleges than is generally recognized. Increasingly community colleges will depend upon the success of instructional innovation projects to stay current, competitive, and viable as educational institutions. In turn, the success of instructional innovation projects depends heavily upon the management and leadership skills of first-line deans.

Second, in examining exceptional cases, this study shows the effects on faculty and instructional innovation efforts of a wide range of management and leadership skills. That such a wide range exists shows great variability in first-line deans' performance of management and leadership functions. Total quality management theory emphasizes the importance of controlling process variability to achieve consistent, high-quality results. That suggests community colleges would do well to examine carefully both the variability in their deans' management and leadership skills and the effects of that variability on faculty performance generally and on instructional innovation projects in particular.

Third, this study shows that effective first-line deans must be able to balance and deploy appropriately a broad repertoire of management and leadership skills. Although the small study prevents inclusiveness, it does identify a number of essential skills and show their application to managing and leading faculty and instructional innovation projects.

Implications of the Research

Selection of First-Line Deans

The growing importance of first-line deans in leading essential innovation efforts indicates that those hiring new first-line deans in community colleges need to understand the specific skills most essential to managing and leading instructional innovation projects. These skills need to be specified clearly in the selection process for new first-line deans.

The traditional practice of promoting an effective instructor will not necessarily do, for the skills needed for the two positions differ in some important respects. For example, faculty members are solely responsible for managing the courses they teach; student participation is becoming increasingly common, but it remains consultative and is not binding upon instructors. In contrast, first-line deans must provide leadership that is collaborative, allowing faculty to take charge of developing and testing a new instructional innovation, or they will likely find little innovation occurring in their departments. Just this one example implies a major difference in orientation to managing and leading others.

To look for candidates with the requisite skills, selection committees can ask questions that require candidates to describe their prior experience and role in managing and leading instructional innovation projects. As candidates describe their roles in the innovation process, the selection committee can discern the various candidates' management and leadership skills and assess how well they would fit the college's needs. In contrast, the common practice of asking candidates to list the completed projects they have worked on as products fails to reveal their skills in managing and leading the process of change and innovation.

Training of New First-Line Deans

The wide range of management and leadership skills found in this small study suggests that community colleges would benefit from providing comprehensive management and leadership training as well as total quality management project training to all of their first-line deans. As noted in this study, no training is given to new deans at any level in the organization of the college. Because the quality and productivity of the community college depends upon the "density of administrative competence" (March 1986, 29), it is a grave error merely to hope or assume that the deans have adequate managerial and leadership skills. The model of effective first-line deans specifies some the managerial and leadership skills found to be essential for first-line deans. Their training could begin with these skills plus TQM project management training.

This study did not include mid-level or upper-level administrators, yet the complete lack of training provided to administrators in the college suggests that training for deans at all levels of the organization likely would be beneficial. It would be necessary, however, first to determine the specific management and leadership skills most needed at mid- and upper-management level positions before designing the training.

Although leadership institutes for community college administrators are not yet legion, a number of high-quality professional training programs exist. Additionally, management, leadership, and organizational development consultants who can customize appropriate training are plentiful. There is no need for community colleges to continue to neglect this important management and leadership training for their administrators.

Evaluation of First-Line Deans

Equally important as providing training for first-line deans is evaluating their performance. Performance evaluations should be of the formative type and the data collected should then be used as feedback to improve the deans' management and leadership skills. Just as deans should be evaluating, providing feedback, and coaching faculty members as needed, highly competent deans should be doing the same for other deans.

Second, deans will learn important evaluation skills through being evaluated themselves. For example, they will learn a variety of evaluation models and approaches and can begin to form judgments about which ones they like and dislike as a recipient, and why. They will gain perspective on receiving an evaluation that will enhance their ability to give factual, useful but considerate feedback to others.

Finally, regular evaluations, if done well, may possibly lessen fear of evaluation and develop among faculty and administrators the self-critical habit of reflecting upon one's own performance. The self-reflective habit extends evaluation to daily self-evaluation and makes possible on-going assessment and improvement in one's skills.

Institutionalizing Continuous Quality Improvement

Conducting evaluations not only on first-line deans but throughout the college will accomplish several important outcomes. First, it will firmly establish a culture of continuous quality improvement, together with the philosophy that everyone can and should continuously improve their job performance along as many dimensions as applicable. As the feedback from formative evaluations is analyzed, it may point to broad areas of staff development needs among the administration. If the data are used to design staff development programs, the overall "density of administrative competence" may improve (March 1986, 29).

Suggestions for Further Research

This study was able only to suggest the beginnings of a framework for a substantive theory of effectiveness of community college first-line deans. Although the framework of the theory is firmly grounded in data collected during the study, much more research needs to be done before a more definitive theory, covering a broader range of circumstances within which community college first-line deans actually operate, can be developed.

Further research should study deans at a variety of community colleges. What kinds of differences in management and leadership skills are noted in community colleges of different sizes and ages? What influence does culture have? What influence does the president's leadership style have upon first-line deans? By what mechanisms does the community college's culture "trickle down" to first-line deans and influence their selection of management and leadership strategies? Do first-line deans manage and lead in significantly different ways in non-unionized community colleges? These and many other questions remain to be answered.

Other studies might attempt to connect what is known about administrators at other levels within the community college with first-line deans. In what ways is the position of first-line dean similar to and different from that of a mid-level dean? Are their any similarities in effective management and leadership strategies of first-line deans and top level administrators, those who are on the president's cabinet?

In what ways can first-line deans and department chairs be trained to work more effectively in concert? Do they need similar or different management and leadership skills when one is in an official position of authority and the other, a leader among peers, must rely chiefly upon persuasion?

These are but a few of the many questions yet to be answered about effective community college first-line deans (and other administrators). The research is worth pursuing because community colleges are now and will be increasingly dependent for their competitive edge upon the ability of their first-line deans to manage and lead successful instructional innovation projects. If the talents and capabilities of first-line deans are not developed many opportunities will be lost for the community colleges within which they work.

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